

NOTICE OF FUNDING AVAILABILITY
AND
APPLICATION FOR FUNDING

Community Development Block Grant Program
Colonias Set-Aside
March 1998



STATE OF CALIFORNIA
Department of Housing and Community Development
Division of Community Affairs
Community Development Block Grant Program (CDBG)
P.O. Box 942054, MS 390-2
Sacramento, California 94252-2054
Telephone: (916) 445-6000
Fax: (916) 323-6016

STATE OF CALIFORNIA
PETE WILSON, GOVERNOR

BUSINESS, TRANSPORTATION AND HOUSING AGENCY
DEAN R. DUNPHY, SECRETARY

DEPARTMENT OF HOUSING AND COMMUNITY DEVELOPMENT
RICHARD E. MALLORY, DIRECTOR

Division of Community Affairs

Duncan Lent Howard, Deputy Director

Community Development Block Grant Program
General and Native American Allocation

William J. Pavão, Program Manager

Program Staff

Lisa Tidd (Leadperson)

Stuart Baker

Larry Davis

Harry Faris

Mimi Kawaguchi

Susan Kessler

Rob Maus

Rhoda Moser

Jamie Carroll

Saundra Smith

TABLE OF CONTENTS

INTRODUCTION	Page Number
A. Information, Changes, Timelines	4-17
APPLICATION SUMMARY FORM	18
ACTIVITY DESCRIPTION FORMS.....	26
green: Housing--New Construction	27
pink: Housing--Acquisition	40
tan: Housing--Rehabilitation.....	52
blue: Community Facilities and Public Services	61
yellow: Public Works	73
DOCUMENTATION AND CERTIFICATION FORMS	87
A. Growth Control and Housing Element Status	88
B. Maps.....	89
C. Citizen Participation	90
CHECKLIST OF ATTACHMENTS TO THE APPLICATION.....	91
APPENDICES.....	93
A Housing Element Self-Certification Language	94
B Survey Techniques for Targeted Income Group Benefit.....	95
C Statement of Assurances	106
D Sample Resolution of the Governing Body	111
E Sample Joint Powers Agreement	113
F Cost categories for General Administration, Activity Delivery, and Program Loan/Activity	118
G Census Data Centers	119
H Census collection and sample tables.....	120
I Eligible Activities: Housing New Construction	125
J Eligible Activities: Housing Acquisition.....	127
K Eligible Activities: Housing Rehabilitation	128
L Eligible Activities: Community Facilities and Public Services	129
M Eligible Activities: Public Works	131
N Public Hearing Requirements.....	132

INTRODUCTION

NOTICE OF FUNDING AVAILABILITY AND APPLICATION FOR FUNDING

STATE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM Colonias Allocation Grants

1997 AND 1998

The Department of Housing and Community Development (Department) announces the funding availability for the Colonias set-aside of the 1997 and 1998 funding cycles of the State Community Development Block Grant (CDBG) Program. The set-aside was instituted by the National Affordable Housing Act of 1990. This notice of funding availability is under the guidelines established by the Housing and Community Development Act of 1974 as amended, and Subpart I of the federal Community Development Block Grant regulations.

Funding Levels

A total of approximately \$3,013,700 is available for the 1997 and 1998 funding cycles. In the event there are insufficient funds available for all eligible activities, priority will be given to the colonias having the most competitive applications. Grants funded from the colonias allocation are in addition to any grants received under the Planning/Technical Assistance, Economic Development, General or Native American Allocations and will not be subject to the annual \$800,000 funding limitation of the CDBG Program, pending proposed legislation now under consideration.

ELIGIBLE APPLICANTS

All cities and counties eligible to apply under the State's CDBG Program (nonentitlement) and which contain colonias as defined by the National Affordable Housing Act of 1990 are eligible applicants for these funds. "Colonias" is defined below under "Program Objectives." As noted above, jurisdictions are eligible to apply for the colonias set-aside provided the Department has determined (in accordance with the provisions in Section 7056 of the State Regulations) that the applicant's performance with any previous CDBG grants has been satisfactory.

PROGRAM OBJECTIVES

Section 101© of the Housing and Community Development Act of 1974, as amended, establishes the primary national objective for the CDBG Program as the development of viable urban communities by providing decent housing and a suitable living environment, and by expanding economic opportunities, principally for persons of low and moderate income.

Section 916 of the National Affordable Housing Act of 1990 authorizes the Department to set aside a portion of the annual CDBG allocation to the State of California to provide direct community development benefit to colonias located in the non-metropolitan border region. The availability of funds pursuant to the Notice of Funding Availability is, therefore, limited to eligible jurisdictions which propose activities within “colonias”. The use of funds awarded through this Notice of Funding Availability is limited to those specified in the section entitled “Eligible Activities”.

For the purposes of this legislation, a “colonia” is any identifiable community that -

1. is located within 150 miles of the border between the United States and Mexico, except within any standard metropolitan statistical area that has a population exceeding 1,000,000;
2. is designated by the State or county in which it is located as a colonia;
3. is determined to be a colonia on the basis of objective criteria, including the lack of potable water supply, lack of adequate sewage systems, and lack of decent, safe, and sanitary housing; and
4. was in existence and generally recognized as a colonia before the enactment of the National Affordable Housing Act of 1990.

Any proposed activity must, if brought to completion, principally benefit the Targeted Income Group (TIG).

Health and Safety Code Section 50827 requires that all funds made available through the State’s CDBG Program be used in a manner which provides decent housing, a suitable living environment and expanded economic opportunities principally for persons and families of low and moderate income. In addition, Section 7056 of the State CDBG regulations require that each application for funds shall principally benefit TIG persons. Therefore, all colonias activities funded through this NOFA must be directed towards work which, if completed, would provide principal benefit to TIG persons. In addition to insuring compliance with Health and Safety Code Section 50827, this requirement insures compliance with the federal requirement that CDBG funds meet an established national objective.

Each application must contain a discussion of how the proposed project will principally benefit the targeted income group. Failure to adequately demonstrate the manner in which the proposed activity will provide such benefit if the project is brought to completion will result in denial of funds.

Threshold Criteria

1. The funding request must be for eligible activities and comply with Health and Safety Code 50827 which requires that all funds used through the State’s program must principally benefit Targeted Income Group persons.

2. The proposed activity must be CDBG-eligible as well as designed to serve a colonia under the provisions of Section 916 of the National Affordable Housing Act of 1990. Applicants are encouraged to contact their community development representative prior to submitting the application to confirm the eligibility of proposed activities.
3. Each application must be postmarked on or before the application due date. Any application postmarked after the due date will be returned to the jurisdiction without review or comment.
4. All required forms must be complete.

ELIGIBLE ACTIVITIES

The five major activity categories are Housing New Construction, Housing Acquisition, Housing Rehabilitation, Community Facilities & Public Services, and Public Works. Please refer to Appendices I through M for more information about these major categories.

Under the colonia allocation, planning activities are also eligible. For the purposes of this NOFA, planning activities, such as site suitability studies or market suitability studies, are those that precede a community's decision to proceed with a project. A study funded with CDBG funds must be directed towards the planning of a project which, if brought to completion, would meet the CDBG objectives set forth in State and federal law as contained in the Program objectives set out below. There is no requirement, however, that CDBG funds be used to complete the project. The project planned or assisted through the use of these colonias funds, may be completed through the use of private funds or other public funding sources.

Additional activities:

Under certain limited circumstances, additional activities may be eligible. Applicants should call Program staff to clarify the eligibility of proposed activities.

PROGRAM ADMINISTRATION COSTS

a. General Administration Expenses

Grantees are restricted to a budget of up to 7.5% of the total grant amount for General Administration expenses. See Appendix F for a listing of some of the typical costs associated with Activity Delivery.

b. Activity Delivery Expenses

A portion of the grant award may be used to pay for the actual "delivery" of the proposed activity. See Appendix F for a listing of some of the typical costs associated with Activity Delivery.

Activity Delivery costs vary, depending on the major activity category. As a general guideline, the most competitive applications have been in the range of:

Housing –Rehabilitation:	up to 18%
All other activities:	up to 8%

For all categories, if the percentages exceed these amounts, applicants should provide an explanation and justification of the higher amounts.

APPLICATION REVIEW AND SCORING

EVALUATION CRITERIA AND SCORING POINTS

Staff rates the applications according to criteria in the State Program Regulations. Applications are given quantitative ratings and ranked against each other. In rating joint applications, information for the combined needs of all participating localities is used to evaluate these applications. The scoring criteria may be found in the Regulations, Sections 7078.1 through 7078.7. The maximum possible score is 950. Points are divided among seven scoring groups:

<u>Category</u>	<u>Points Possible</u>
Poverty	100
Targeted Income Group	300
Need for Activity	200
Performance¹	150
Capacity	150
Leverage	50
Total Possible	950

¹ Current grantees: Applicants with open grants for the funding years 1994, 1995, and 1996 will be evaluated on their performance/capacity for those grants.

New applicants: Applicants who have not had a grant during funding years 1994, 1995, and 1996 will receive the full 150 points under "Performance." Under "Capacity," new applicants will be evaluated as follows:

In-house: If the grant will be administered in-house, the applicant must submit resumes and duty statements for staff who will perform the proposed activity(ies).

Consultant: If the grant will be administered by a consultant, the applicant must submit a letter of interest from the consultant. For application purposes, "consultant" may include a CDBG experienced neighboring jurisdiction.

G/NA and Colonia only: Performance and capacity will be evaluated only for 1994, 1995, and 1996 grants made from the General/Native American and colonia allocations, either a major grant or a Planning/Technical Assistance grant. Performance and capacity under the Economic Development Allocation will not be evaluated for purposes of receiving an award under the colonia allocation. Performance will be based on timeline of expenditures of CDBG funds, expenditures of committed leverage, resolution of monitoring findings, timelines of audit finding resolution, timelines of close-out submittals and timeliness of reporting.

The Department will review, rate, and rank each application. During the initial review process, CDBG staff may contact applicants about the location of information within the application, but during such contacts, applicants will not be permitted to add to their application. Any such contacts will be scheduled after the Department has completed its preliminary review.

The Department will evaluate and fund applications based on all the activities in the application. Exceptions:

- a. Ineligible activity. If an activity within an application is found to be ineligible, the Department will delete the ineligible activity and rate and rank the balance of the activities in the application. Applicants are encouraged to discuss their proposed activities with the Program staff prior to submitting an application.
- b. Funded only by program income. If an applicant proposes an activity whose sole source of funding is program income, CDBG will not score that activity.

AWARD ANNOUNCEMENTS AND PROCESSING

AWARD ANNOUNCEMENTS

Awards will be announced on July 1, 1998. Please do not call CDBG staff to ask about the status of your application. All applicants will be notified by mail as to the outcome of their application.

NOTE: As a condition of receiving an award, the Department will require applicants to submit a self-certification by May 11, 1998 that the housing element is in procedural compliance with state housing element law. The Department will not award funds to any applicant who has not submitted the self-certification by that date. The self-certification must be received by HCD, not postmarked, by May 11. No extensions will be granted beyond this date.

Unfunded applications/exit interviews.

After awards are announced, applicants who are not awarded funds are encouraged to schedule meetings with the CDBG representative to discuss their application and how to improve applications for future funding cycles. CDBG staff will also meet with successful applicants who wish to review their applications.

AWARD PROCESSING

All funded applications will be processed through a standardized Grant Agreement. The Agreement will contain information about the terms and special conditions of the award. Special conditions will have to be met within 90 days of the Agreement's execution. If the conditions are not met, the Department will terminate the Agreement. Applicants are not permitted to incur any grant-related costs prior to the State's execution of the Agreement and the applicant's satisfactory completion of any required special conditions. Information about processing times and authorization requirements will be provided at the time the Agreement is sent to the grantee.

PROGRAM REQUIREMENTS

PUBLIC HEARINGS

CDBG Regulations require that two public hearings be held before the jurisdiction submits an application to HCD. The first hearing must be held during the program design stage. The second must be held before the application is sent to HCD. See Appendix N for more information about the public hearings requirement. The program will monitor all funded applications for this requirement, including the commitment shown to citizen participation, as documented in the jurisdiction's citizen participation plan.

PUBLIC RECORDS ACT

Applications and grant agreements are public information and are available for review by the public. Applicants are advised that information submitted to the State may have to be made available to the public under the State Public Records Act unless an exemption under this Act applies to the information submitted and the applicant establishes a valid claim of confidentiality under such exemption.

RELOCATION NOTICE

The federal requirements relating to acquisition and relocation assistance are a major consideration for eligible CDBG applicants. Jurisdictions who receive federal funds in the form of a CDBG grant are required to inform all potential program recipients, **prior to program recipients' submitting an application for assistance from CDBG funds**, of the potential for relocation as a result of the federally-funded project, and of the potential recipients' rights to relocation assistance in the event relocation is triggered by the funded activity. Applicants may wish to seek legal counsel and consult the Code of Federal Regulations, 24 CFR 570.496a and 49 CFR, Part 24 (Uniform Relocation Act) for applicable laws. If any jurisdiction has a specific project in mind that may involve acquisition and/or relocation, contact a CDBG field representative for further guidance prior to submitting the CDBG application.

PROCUREMENT

The Department will monitor for procurement of goods and services and will seek to assure that equal opportunity provisions have been included in all procurement procedures.

APPLICATION

A. CONTENTS OF THE APPLICATION

The application for the 1997 and 1998 Colonias Allocation consists of State forms and other required information. The forms have been developed to provide all applicants with a consistent format for presenting proposed projects and to provide the Department with a method for applying the evaluation criteria in the rating process.

Applicants should refer to the instructions in this Application Package for a more detailed description of the requirements.

The Application is divided into three sections:

1. The Application Summary form. This is a data collection form that the Department will use to process Grant Agreements for successful applicants. It also contains an important signature block on page 25 that all applicants must use to officially sign the application.
2. The Activity Description forms. These forms are color-coded by activity and are for the applicant to describe and document the need for the proposed activity.
3. The Documentation and Certifications section. This section is for the applicant to attach required maps, certifications, any applicable joint powers agreements, and the authorizing Resolution(s).

B. INFORMATION AND CHANGES FOR THIS YEAR

This year's Application is substantially the same as the 1996 application. Minor changes have been made to incorporate comments received during the year and to include revisions made to the Program's Regulations. We appreciate your feedback and encourage your continued input on the application process.

INFORMATION:

1. Non-eligible site acquisition costs. During prior funding rounds, several funded applicants asked to use their CDBG funds to reimburse costs related to site acquisition incurred prior to the grant award, execution of the grant agreement, and clearance of special conditions. Such costs are not eligible expenses and applicants are cautioned that any such expenses cannot be reimbursed out of a 1997/98 award.

2. Mixed-income or-use projects and prorating Targeted Income Group (TIG) Benefit

In the past, a local jurisdiction receiving 300 points for a housing rehabilitation application could only assist multi-family projects wherein 100 percent of the occupant households were TIG. If a jurisdiction proposed a mixed-income project within the application, that application would have lost points under “targeted income group benefit.”

- A. The State CDBG program will now allow recipient jurisdictions to rehabilitate multifamily residential projects with the following conditions:
 - 1. At least 51 percent of the residential projects must be TIG.
 - 2. CDBG funds may be used to pay for all the “common” improvements (roof, exteriors, water laterals, systemwide electrical, etc.).
 - 3. CDBG funds may be used on unit interior improvements within those units occupied by TIG households.
- B. The general allocation application will no longer seek information regarding the income mix in proposed multifamily projects. We will simply monitor for 51 percent TIG benefit level.
- C. Projects with less than 100 percent, but not less than 51 percent, TIG occupancy will have no bearing on the competitiveness or contract compliance status of local rehabilitation programs proposing a 100 percent TIG level.

Allowing rehabilitation down to 51 percent benefit with no competitive consequences is consistent with federal policy regarding the construction of new rental housing for non-senior households. That is, we view such projects as 100 percent TIG.

Using General or Colonia Allocation dollars in mixed-use projects. Several jurisdictions have asked whether they could apply for CDBG General Allocation funds for the rehabilitation of structures that have both residential and commercial uses. Pursuant to federal law and State legislation, State CDBG dollars for economic development are accessed through a separate set-aside and application process. However, an applicant jurisdiction could apply for General or Colonia Allocation CDBG funds as follows:

A jurisdiction could apply for residential rehabilitation funds under the General or Colonia Allocation and use those dollars on the residential portion of the building only. HUD has advised the Department that we may also use a proration approach in assessing the TIG benefit of common improvements. That is, if the percentage of the common building improvements funded by CDBG dollars does not exceed the percentage of the building used for residential purposes, we may evaluate the project based just upon the residential portion of the building.

For example, if CDBG funds would pay (1) the interior residential rehabilitation, and (2) no more than 50 percent of the costs for common-area improvements, and at least 50 percent of the building is used for residential purposes, we would evaluate the project based strictly on the residential portion of the project.

3. Mixed-income residential construction. Multifamily projects whose beneficiary household are 51 percent TIG or higher, will receive 300 points under the TIG benefit scoring category. The CDBG dollars as a percentage of total project costs need not be equal to or greater than the percentage if benefiting households who are TIG, so long as at least 51 percent of the beneficiaries are TIG.

Under federal law (24 CFR Section 570.483(b)(3)(i)) CDBG funds may be used to develop multifamily rental housing units where TIG households represent less than 51 percent of the total benefiting households. However, requisite conditions include: (1) the assistance must reduce the development costs in a **non-elderly** project, (2) not less than 20 percent of the units will be occupied by TIG households, and (3) the proportion of the total costs borne by CDBG funds does not exceed the proportion of the TIG beneficiaries. Consistent with this federal policy, the Department will consider such projects as providing 100 percent benefit to TIG households.

Applicants proposing non-senior multifamily residential development with less than 51 percent TIG occupancy may not use CDBG funds for more than the prorated share of the project costs. For example, a 35 percent TIG project may defray no more than 35 percent of the development costs using CDBG dollars. A properly prorated project will garner 300 points under TIG benefit scoring.

Acquisition is an allowable cost and the benefit rule discussed above applies. Please refer to item B.1 on page 12 of this application package for guidance regarding eligible costs for rehabilitation of a newly acquired building.

4. Limit on local contributions for General Administration (GA).

Under federal and State law, the Department may allow grantee jurisdictions up to 7½ percent of their CDBG funds for GA. However, jurisdictions are not prohibited from committing additional local, non-CDBG resources to GA beyond

the 7½ percent. The following describes the limits to which the Department will award competitive points for locally-contributed GA dollars.

Applicant jurisdictions will receive points for local administrative contributions up to no more than 10 percent of the grant amount. This 10 percent calculation will take into account the CDBG dollars requested for GA, as illustrated in the following examples.

Example 1--7½ percent CDBG and 2½ percent local funds. Jurisdiction A requests \$500,000 and proposes using 7½ percent of the CDBG award (\$37,500) for general grant administration. Jurisdiction A could receive competitive credit for up to \$12,500 in local administrative services contributed to the grant per the following formula:

$$\$50,000 = 10\% \text{ of the } \$500,000 \text{ grant}$$

$$\$37,500 (7\frac{1}{2}\% \text{ CDBG}) + \$12,500 (2\frac{1}{2}\% \text{ Local Commitment}) = \$50,000$$

Example 2--some portion of CDBG and a greater portion of local funds. If the jurisdiction proposes using less than 7-1/2 percent of the CDBG grant for general administration, it may receive credit for committing up to the 10 percent total as illustrated below:

Jurisdiction B requests \$500,000 and proposes using 5 percent of the CDBG award (\$25,000) for general grant administration. Jurisdiction B could receive competitive credit for up to \$25,000 in local administrative services contributed to the grant per the following formula:

$$\$50,000 = 10 \text{ percent of the } \$500,000 \text{ grant}$$

$$\$25,000 (\text{CDBG}) + \$25,000 (\text{Local Commitment}) = \$50,000$$

Note: Jurisdiction B would be more competitive than Jurisdiction A in the category of local leverage if these were the only local contributions.

CHANGES:

1. Presumed Benefit-(Limited Clientele). For the purposes of assigning a benefit score, 100 percent TIG benefit will no longer be presumed for activities benefiting elderly persons. For activities that exclusively serve a group of persons in any one or a combination of the following categories, 100 percent benefit may be presumed unless there is evidence to the contrary: abused children, battered spouses, severely disabled adults, homeless persons, illiterate adults, persons living with AIDS, and migrant farm workers.

2. Housing rehabilitation need scoring. If an applicant proposes to carry out housing rehabilitation in a target area, survey data showing the percentage of units in need of rehabilitation or dilapidated may be used in place of the community-wide data stated in the jurisdictions housing element. **The survey must be completed using the survey form contained in Chapter 16 of the 1997 Grant Management Manual.**
3. Census data showing the age of housing stock and overcrowding may also be for the target area. **Applicants will be required to attach the proper census table for each block group identified as the target area.**
4. New construction need scoring. Scoring of need for new construction projects will vary by the type of activity proposed. In essence, we have added a fifth activity area entitled "Housing Acquisition". See appendix J of the NOFA for a description of the factors which will be used.
5. Under federal statute (Title I, Section 5305(a)(15)) a jurisdiction may provide "assistance to nonprofit organizations serving the development needs of the communities in nonentitlement areas." The application forms will now prompt applicant jurisdictions to declare if they are proposing to carry out CDBG-eligible activity though this provision. The jurisdiction would still complete those forms that apply to the proposed activity (e.g., housing rehabilitation), but the Department will note that the local jurisdiction will fund a nonprofit organization to meet local community development needs. This designation will affect whether or not any income derived from the activity is CDBG program income.

C. TIMELINES

NOFA/Application Release Date:	March 2, 1998
Application DEADLINE:	May 11, 1998
Last day for HCD to receive self-certification of housing element status:	May 11, 1998
Awards ANNOUNCED:	July 1, 1998

D. INSTRUCTIONS FOR SUBMITTING THE APPLICATION:

Applications must be received in the Department by 5:00 p.m. on May 11, 1998 or postmarked with that date. Late or incomplete applications will not be considered for funding. Telefaxed applications are not acceptable. Additional information which would enhance competitiveness will not be accepted after the application deadline. The Department reserves the right to request additional information as a special condition to the grant agreement.

1. Send 2 complete sets of the application and all attachments.
2. Package each copy of the application and attachments in an appropriate sized, 3-ring loose-leaf binder. Paginate the pages.
Use tabbed pages or other clearly-marked separating device to mark attachments--do not use adhesive stickers or flags--these devices are easily misplaced or lost.
PLEASE PROVIDE A TABLE OF CONTENTS TO YOUR APPLICATION.
3. Check the application for completeness.
Make sure all attachments are included.
Attach the Checklist of Attachments.
Date and sign the application on page 25.
4. If you are sending in the housing element self-certification with the application, be sure to so check on the Checklist of Attachments. If you send it in under separate cover, the Department must receive it (postmarks are not acceptable) by May 11, 1998.
5. Send complete applications to:

Mailing Address: State Community Development Block Grant Program
Department of Housing and Community Development
P.O. Box 952054, MS 390-2
Sacramento, CA 94252-2054

Street Address: 1800 Third Street, Room 390
Sacramento, CA 95814
6. For further information: Telephone: (916) 445-6000
Fax: (916) 323-6016

APPLICATION SUMMARY FORM

Read the Instructions and use this form to provide background data on the jurisdiction and proposed activity(ies). Enter the jurisdiction's name at the top of each page in the space provided.

PART A. APPLICANT AND PROJECT INFORMATION

1. Check the appropriate box and enter the name of the jurisdiction. If the applicant is a city, please indicate the name of the county in which it is located.
2. Enter the total amount of CDBG funds requested.
3. Enter the name and title of the chief executive officer, mayor, or other designee authorized in the Resolution to sign the grant agreement.
4. Enter the address of the person authorized in the Resolution to sign the grant agreement.
5. Itemize the funds requested for each category. The total of all lines must equal the amount requested on line 2.

Line a: Up to 7-1/2 percent of the total amount requested may be used for General Administration.

Line b: If the activity is to assist a Non-profit entity, enter the amount.

Lines c-h: Enter the amount for each activity broken out by owner/occupied and renter where appropriate. The amount allowed for Activity Delivery varies by activity. Acceptable allowances, as a percentage of the total amount of funds requested are:

Housing Rehabilitation:	up to 18 percent
All other activities:	up to 8 percent

6. Line a: Check whether the project will be jurisdiction-wide or confined to a target area. If you check jurisdiction-wide, skip item b. and go on to question #7.
Line b: If you checked target area, select the smallest unit of Census data that encompasses your proposed target area. For example, if your target area is completely within a Census Block Group, identify that Block Group. If your target area crosses boundary lines for more than one Census Block Group, identify all of those Groups. Do not use census blocks.
7. This part of the form provides information on the proposed total number of projects and

beneficiaries during the term of the grant. For sub-columns (1) and (2) of the three income group categories, enter only the number of projects and beneficiaries for that specific income group. Proposed activities may not exclude benefit to the Lowest Targeted Income group. See Appendix B for a list of income limits by County.

- A. Non-TIG. Section A. of this form is just for households with incomes at 81 percent and above of the median (non-TIG) If CDBG funds will be used in a project where non-TIG households will benefit, then show those non-TIG household numbers on this chart. If non-TIG households will not be part of a project, then do not enter any data in column A.
- B. TIG. Enter the number of projects and the number of beneficiaries whose incomes are between 51 percent and 80 percent of the county median income (targeted income group).
- C. LTIG. Enter the number of projects and the number of beneficiaries whose incomes are 50 percent or less than the county median income (lowest targeted income group). You may not enter a zero in this column--proposed activities may not exclude benefit to the LTIG group.

Clarification for sub-columns (1) and (2) under columns A., B., and C.:

New Construction, Acquisition, Rehabilitation, and Public Works:

Subcolumn (1) = number of households to benefit

Subcolumn (2) = number of occupants to benefit.

Note: for Acquisition, New Construction and Rehabilitation, please separate the data by owner occupied and renter occupied.

Community Facilities/Public Services:

Subcolumn (1) = number of projects anticipated

Subcolumn (2) = number of users to benefit.

- 8. NOTE: Skip this question if your Program Income (PI) funds are already dedicated to a Revolving Loan Fund and will not be used to fund a separate activity in this application.

Check whether or not you are proposing to use Program Income to fund an activity in this grant that is different than the activity proposed for the new grant funds. If no, stop and go on to question #9. If yes, enter the dollar amount of program income you expect to use (estimates are acceptable). Then check the appropriate boxes to show which national objective the program-income funded activity will meet and give a brief description of the activity you are proposing. For further information, please refer to the Program Income section in Chapter II of the Grant Management Manual, or contact a CDBG field representative.

- 9./10. Enter the name of the person and title of the city or county staff who will be the primary contact with the State regarding this application. Fill in the rest of the requested data as shown on the form. If a consultant or other public agency prepared this application, also complete question #10, following these same instructions.

PART B. TYPE OF APPLICATION

1. Check if the proposed program is only for the applicant named in Part A., 1. Above.
2. Check if the proposed program is for activities in the jurisdiction named in Part A., 1. and an adjoining city or county. Enter the names of both jurisdictions.

PART C. LEGISLATIVE REPRESENTATIVES

1. Enter the district number for each type of legislator. If the applicant is in more than one district, list all of the district numbers.
2. Enter the names of the legislators.
3. For the California state legislators, enter the room number of their Sacramento Capitol office location. For the U.S. Congressional legislator(s), enter the Washington, D.C. office building and its corresponding address where the legislator can receive notice of a funding award. The Department will notify all legislators of funding decisions.

PART D. PROGRAM INCOME ON HAND

Enter the total amount of uncommitted program income residing in local account(s) as of March 31, 1998. Program income is income received from prior grants. If you are unsure about whether you have program income from previous grants, contact your representative.

PART E. SIGNATURE OF AUTHORIZED OFFICIAL(S)

The application must be signed and dated by an authorized representative of the jurisdiction submitting the application. For joint applicants, a representative from each jurisdiction applying must sign and date the application.

PART A. APPLICANT AND PROJECT INFORMATION

1. Applicant: ☐ City of _____, located in the County of _____

☐ County of _____

2. Total amount of funds requested: \$ _____

3. Official authorized to sign the Grant Agreement per the Resolution:

Name: _____
(Last) (First) (MI)

Title: _____

4. Street address of person authorized in the resolution to sign the grant agreement:

Address: _____

(City)

(State)

(Zip Code)

5. Itemized list of CDBG funds requested.

The total on line j. should match the total amount requested in line 2. above.

Activity	Requested Amount
a. General Administration	\$ _____
b. Assistance to a Non-profit	\$ _____
c. Housing - New Construction Activity delivery	\$ _____ Owner/occupied
	\$ _____ Renter/occupied
	\$ _____
d. Housing - Acquisition Activity delivery	\$ _____ Owner/occupied
	\$ _____ Renter/occupied
	\$ _____
e. Housing - Rehabilitation Activity delivery	\$ _____ Owner/occupied
	\$ _____ Renter/occupied
	\$ _____
f. Community Facilities Activity delivery	\$ _____
	\$ _____
g. Public Services Activity delivery	\$ _____
	\$ _____
h. Public Works Activity delivery	\$ _____
	\$ _____
i. TOTAL	\$ _____

**1997 and 1998 Colonias
Application Summary Form
Applicant**

6. Census Data

a.	Proposed activity is (check one):	jurisdiction wide <input type="checkbox"/>	
		target area <input type="checkbox"/>	
b. If you checked target area, check which data source you used (see Instructions re: Census Block Group numbers).			
<input type="checkbox"/> Census Tract data; enter Census Tract numbers: _____			
<input type="checkbox"/> Census Block Group data; enter Census Block Group numbers _____			

7. Proposed Activity(ies) and Beneficiaries by Income Group:

	A. 81% and Above (Non-TIG)		B. Between 51% - 80% (TIG)		C. Below 50% (LTIG) (There must not be a zero in this section.)	
	(1)	(2)	(1)	(2)	(1)	(2)
Activity	Total # of households/projects	Total # of persons to benefit	Total # of households/projects	Total # of persons to benefit	Total # of households/projects	Total # of persons to benefit
Housing—New Construction						
# of owner-occupied_____						
# of renter-occupied_____						
Housing—Rehabilitation						
# of owner-occupied_____						
# of renter-occupied_____						
Community Facilities						
Public Services						
Public Works						

8. Program Income.

Will Program Income be used with this grant for a different activity than the one proposed in this application?

**1997 and 1998 Colonias
Application Summary Form
Applicant**

- ☐ No; stop here and go on to #9.
- ☐ Yes; enter amount you expect to use: \$_____. Check which National Objective v met by this activity and give a brief description in the space below:
- ☐ Targeted Income Group benefit
- ☐ Slums and blight
- ☐ Urgent need

Briefly describe the activity(ies) proposed to be funded by Program Income:

9. Applicant's Staff Contact Information:

Last:	First:	MI:
Title:		
Mailing Address:		
City:	State:	Zip:
Telephone #: Area Code: ()		Fax #: Area Code: ()

10. Consultant/Other Public Agency Contact Information:

Last:	First:	MI:
Title:		
Mailing Address:		
City:	State:	Zip:
Telephone #: Area Code: ()		Fax #: Area Code: ()

PART B. TYPE OF APPLICATION

1. <input type="checkbox"/> On Applicant's Own Behalf	
2. <input type="checkbox"/> Joint Application: _____ and _____ -	

PART C. LEGISLATIVE REPRESENTATIVES

Member of the Assembly	State Senator	Member of Congress
1. District No.	1. District No.	1. District No.
2. Name:	2. Name:	2. Name:
3. Capitol Room #:	3. Capitol Room #:	3. Office Bldg. And address:
1. District No.	1. District No.	1. District No.
2. Name:	2. Name:	2. Name:
3. Capitol Room #:	3. Capitol Room #:	3. Office Bldg. and address:

PART D. PROGRAM INCOME ON HAND

Enter the total amount of uncommitted program income on account locally as of
March 31, 1998:

\$_____

PART E. OFFICIAL(S) AUTHORIZED TO SUBMIT APPLICATION

Name_____ Title_____

(Print)

Signature_____ Date_____

Name_____ Title_____

(Print)

Signature_____ Date_____

ACTIVITY DESCRIPTION FORMS

This section of the application contains five color-coded sets of forms with Instructions. Use these forms to describe your proposed activity.

Green:	Housing--New Construction
Pink:	Housing--Acquisition
Tan:	Housing--Rehabilitation
Blue:	Community Facilities/Public Services
Yellow:	Public Works

How to proceed:

1. Select the category of activity you wish to propose. You may apply for more than one activity.
2. Pull the appropriate color-coded sections of the application for the activities you are proposing. Please review the Instructions before filling out the forms.
3. Complete all parts of the application. Photocopy additional pages as needed.
4. Review the Checklist of Attachments to be sure you have included all the required and necessary documentation.

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Instructions

A. NEED FOR THE ACTIVITY. Enter the name of the jurisdiction on the top of each page in the space provided.

1. Activity. Check all applicable boxes--you may check more than one.
2. Description. Project description, site control, and environmental clearance information.
 - a. Narrative Description. Provide a brief narrative about the proposed project. Give information about the use of CDBG funds, what the total project will cost, the number of units, the total number of beneficiaries, and a breakdown of TIG and LTIG beneficiaries.

Example: The City of XYZ will use the \$500,000 to install water and waste-water lines in support of the planned development of 22 self-help homes for TIG households. The CDBG funds will be used as part of a \$3.5 million, 50-unit, self-help subdivision being constructed in the northwest portion of the City. Other funds are being provided by USDA-RD and the ABC Bank Community Reinvestment fund.

- b. Site Control. If your project requires site control, answer the question on the form. Examples of site control include an option to purchase or a purchase agreement, an option to lease or a leasehold interest, or a deed of trust. Include documentation that rights of way or easements have been obtained.

Options should allow sufficient time for the CDBG process; i.e. where a site is to be purchased, the option should allow for at least 4-6 months beyond the projected award date.

- c. Environmental Clearance. Environmental impacts must be discussed for NEPA. Show actual (if known) or estimated level of environmental clearance for each set of environmental provisions. Scheduling and budgeting should allow for sufficient time and funds to complete environmental clearances prior to commencement of activities. New Construction frequently requires a higher level of environmental clearance than other types of community development activities.

NOTE: If you already have a NEPA environmental review record (ERR) for your proposed project that was prepared by another agency (e.g., USDA-RD), this ERR may or may not satisfy environmental review requirements for HUD purposes. Although new agreements are being crafted for cooperation between State and Federal funding agencies

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Instructions

(primarily for public works projects), as of the time this application went to printing, these were not finalized. Please contact your CDBG representative for further guidance on avoiding ERR duplication.

3. Overpayment. Enter the percent of all **renter** households who are paying more than 25% of their income for housing. You must use 1990 Census data for this number. Overpayment data are available in the 1990 Census Summary Tape File 3A, Table H50.
4. Overcrowding. Enter the percent of households living in overcrowded conditions. This is the percent of total occupied housing units in which there are 1.01 persons or more living per room. You must use 1990 Census data for this number. Overcrowding data are available in the 1990 Census Summary Tape File 1A, Table H21 (a sample is contained in Appendix H).
5. Need for New Units.
 - a. Vacancy Rate. Provide the vacancy rate for the tenancy type proposed (homeowner or rental). Enter the percent(s), for the entire jurisdiction, for the appropriate type(s) of units proposed. Target areas are allowed only for geographically isolated areas of counties. Recent surveys or Census data are acceptable documentation. If you use 1990 Census data, refer to the Census Summary Tape File 1A, General Profiles for the jurisdiction-wide vacancy rates by tenure type.
 - b. Council of Governments (COG) figures indicating need for new low- and very low-income units will be analyzed as a percentage of the current number of units in the jurisdiction (1997 Department of Finance). The Department has already obtained this data for all CDBG-eligible jurisdictions and CDBG will send the complete list to you upon request.
6. Waiting List or Market Study. Provide a project-specific waiting list or market study to further demonstrate need for the project. If you answer yes, attach a copy of the waiting list or market study.
7. Supplemental information. Applicants may provide additional narrative regarding the need for the proposed activity if they believe the standard statistical data sources do not adequately represent local conditions. Use the space provided if you have extraordinary or unique local conditions.

B. TARGETED INCOME GROUP BENEFIT

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Instructions

1. In the space provided, enter the percentage of the total project beneficiaries who would be TIG households.
2. If this is a non-senior project check “yes” if the TIG benefit is 51 percent or greater. Check “no” if fewer than 51 percent of the beneficiary households would be TIG households.
3. Compare the percent of benefit to TIG households with the percent of CDBG dollars relative to the total development cost (TDC). For example, a potential \$1,000,000 project may be designed to set aside 40 percent of the finished project for TIG households. If the applicant is requesting \$400,000 of CDBG funds, which is 40 percent of the TDC. The application meets the test that the percent benefit to TIG households is equal to or great than the percent of TDC that CDBG dollars represent.

C. PERFORMANCE/CAPACITY

1. Check yes or no to indicate if the applicant has grants for the funding years 1994, 1995 and 1996. Check only for grants from the General and Colonia Allocations. If you had only Economic Development and/or Planning and Technical Assistance grants during those years, check no.
2. If you checked no to #1, check the appropriate box to indicate how the applicant plans to administer this grant. Depending on which box you check, attach the requested documentation.
3. If the purpose of this application is to provide assistance to a local nonprofit corporation to carry out a CDBG-eligible activity, answer yes.

D. LEVERAGE

1. Other funding commitments. The Department will award points in two categories of leverage: local financial contributions and private financial contributions.
 - a. Local leverage. Clearly identify the local source of funds and give the dollar amount as shown in the local Resolution. Write in the number of the Resolution and attach an adopted, signed, and dated copy.

Notes regarding Local funds:

- Local Redevelopment Agency funds are an acceptable local

**1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Instructions**

contribution. If you use these funds, you must attach a separate Resolution from the RDA.

- Show only those funds that originated at the local level; do not show funds that came from state or Federal sources.
- If the applicant is a City and the County in which that City is located makes a contribution to this application, the County funds will be counted as a local contribution (as long as the source of County money is not state or federal funds).
- Program Income from prior CDBG grants may not be used for local leverage.

Notes regarding Local complementary activities with a dollar value:

- In-kind contributions. Jurisdictions may choose to contribute some form of in-kind services. This could be staff time or the value of other administrative services. See the Information and Changes section of this Application for more information. If you use in-kind, specify the dollar value and whether and how much you are contributing to General Administration and/or Activity Delivery.
- Fee waivers. If the local contribution includes fee waivers, show the dollar value of those waivers on this chart.
- Fee deferrals. If the local contribution includes fee deferrals, the leverage value of the deferrals will be based on “net present value”, for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.
- Infrastructure improvements. If the jurisdiction proposes infrastructure improvements as a local contribution, this work must be related to the proposed CDBG activity. For example, if a jurisdiction proposes to use redevelopment agency revenues to fund infrastructure improvements in the jurisdiction, points will only be awarded if these improvements are done in conjunction with the CDBG activity.

Points will not be awarded if the CDBG activity is in one section of a jurisdiction and infrastructure improvements are being done in another part of the community. In the section of this application where you describe the proposed activity, tell us how this local

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Instructions

complementary activity is related to the CDBG activity.

- Highway Users Taxes (gas taxes). If the jurisdiction proposes to use gas taxes in support of a housing new construction activity, the identified gas tax amount must be restricted to either: 1) the street(s) on which CDBG-assisted units will be located, or 2) work required as a condition of project development approval.
- b. Private leverage. Clearly identify all sources of private leverage. Enter the dollar amounts being contributed and make sure the amounts in the chart match the amount on the letters of commitment (i.e., do not just indicate "contribution of materials;" specify the dollar value of the contribution). Enter the date of the commitment letter and attach a copy of the letter (letters must be recent--within six months of submitting this application). Commitment letters must be on the funding sources' letterhead.

Notes:

- Funds from private organizations (including non-profits). If a non-governmental organization is contributing funds and the source of those funds is State or federal funding, the contribution will not be counted. Be sure to clearly indicate the source of such contributions.
- Sweat equity contributions. If the jurisdiction shows sweat equity as a private leverage contribution, provide a letter or other documentation that clearly shows how the value of the labor was calculated. Statements such as "based on past experience" are not adequate. If sweat equity value is based on hours worked then these hours will be valued at \$10 per hour.
- The leverage value of fee deferrals will be based on "net present value", for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.

2. Sources and Uses form.

Sources. The major funding sources are printed on the form. The amounts and sources for local and private contributions should match to the information provided on leverage tables 1.a. and 1.b. In addition, make entries here for any state, federal, or other sources not shown on the leverage tables that you will be

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Instructions

using to finance the entire project. For "other state" funds, if any are from another HCD program, please identify that program on this chart.

Uses. Identify the cost categories applicable to your proposed project and enter the amounts you plan to use. Allocate the amounts across the table to the funds you expect to receive from all the sources listed. This chart should include costs for the entire project (not just the CDBG portion). Your cost estimates can assist you in calculating these entries.

For the Construction line, include a factor for Davis-Bacon wages when applicable. The Equipment category could include items such as outdoor playground equipment. Examples of fees that should be listed are commissions to brokers or closing costs for the acquisition of land or a building. All construction costs should include a contingency established in the line item. General administration costs should include staff time for clearing the grant agreement special conditions and grant reporting.

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Applicant

A. NEED FOR THE ACTIVITY

1. What will the CDBG dollars be used for?
 - ☐ Land acquisition
 - ☐ Off-sites
 - ☐ Homebuyer assistance (for units not already built at the time of application)
 - ☐ Other (explain)

2. Project description, site control, and environmental clearance.
 - a. Briefly describe the project. If you are proposing a combination activity or multi-year grant, explain all aspects of these activities. If multi-year, explain why the activity cannot be accomplished in one year. If this activity is part of a larger project, please describe the whole project and how the CDBG-funded portion fits into that project.

 - b. Site control. If the proposed project involves site acquisition, answer the following question. NOTE: Site acquisition costs incurred prior to the award of a grant, execution of a grant agreement, and clearance of any special conditions are not reimbursable from the grant.

Do you have site control in place for at least 4 to 6 months beyond the anticipated CDBG award date?

 - ☐ Yes. Attach documentation.
 - ☐ No. Explain status in the space provided below.

 - c. Environmental clearance. Describe the anticipated levels of environmental clearance for NEPA.

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Applicant

3. Overpayment. Enter the percent of all renter households who are paying more than 25% of income for housing:

Renters overpaying: _____%

4. Overcrowding. Enter the percent of total households who are overcrowded:

Overcrowding: _____%

5. Need for New Units

- a. Vacancy rate for the tenancy type(s) proposed: Enter the percent(s) of units that are vacant in the entire jurisdiction. Use either the appropriate vacancy rate from 1990 Census Summary File 1A, General Profile, or from a local survey. Indicate whether the Census or a survey was used.

Homeowner Vacancy Rate: _____% Census or survey?

Rental Vacancy Rate: _____% Census or survey?

ATTACH THE CENSUS TABLE OR THE RESULTS OF THE LOCAL SURVEY

- b. Council of Governments (COG) need figures for new low- and very low-income units will be analyzed as a percentage of current number of units in the community. The data for this factor has been independently obtained by the Department. If you would like a list of eligible jurisdictions and their COG need factors please contact CDBG at the phone number on the cover of this application.

6. Is there a project-specific waiting list or market study?

☐ Yes. Attach a copy.

☐ No

7. Supplemental information. If you have extraordinary or unique local conditions

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Applicant

that you feel are not adequately documented by the standard data sources, use the space below to provide supplemental information.

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Applicant

B. TARGETED INCOME GROUP BENEFIT

1. What percent of households benefiting from this proposed activity are TIG households? _____ %
2. If this is a senior project, is the TIG benefit 51% or higher? Yes _____ No _____
3. If the answer to question number 1 is not 51% or higher, is it because you are developing a multi-family, non-senior, rental project? Yes _____ No _____
4. If the answer to question number 3 was yes, is the percentage of CDBG dollars relevant to development costs equal or less than the percentage of TIG households in the project? Yes _____ No _____

C. PERFORMANCE/CAPACITY

1. Does the applicant have any CDBG General and Colonia Allocation grants for the years 1994, 1995 or 1996?

☐ Yes. Stop here and go on to Part D., Leverage

☐ No. Continue to question #2 below.
2. If funded from this application, how will you administer the grant? All applicants who respond to this question must attach supporting documentation.

☐ With in-house staff only. Attach resumes and duty statements of staff who will be performing the work.

☐ With consultant services only. Attach a letter of interest from a consultant that includes brief resumes of experience administering CDBG projects. Neighboring jurisdictions who have previously administered a CDBG project may be considered consultants for purposes of this question.

☐ Some combination of in-house and consultant services. Describe: _____

Attach resumes, duty statements, letter, etc. as indicated above.

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Applicant

3. Is this application for the purpose of assisting a nonprofit corporation to carry out a CDBG eligible activity? Yes _____ No _____

D. **LEVERAGE.** This section of the application has two parts--1. information about other funding commitments for the proposed project and 2. information about how the funds will be used. Part 1 consists of three separate information blocks.

1. **Other funding commitments.** List the amounts and sources of contributions other than CDBG. Attach documentation of commitments.

a. **Local Leverage.** If any of the local contributions are from a Redevelopment Agency, please attach a separate Resolution from the RDA. Identify the original source of the local funds (i.e., some local funds may have originated as Federal or state funding passed on to the locality. If such is the case, the funds will not be counted as a local contribution for scoring purposes). The leverage value of fee deferrals will be based on “net present value”, for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.

Local Leverage Source	Amount in Dollars in Resolution	Resolution Number (attach a copy of the Resolution)
General administration		
Activity delivery		

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Applicant

- b. Private Leverage.** If labor and materials are being contributed, assign a dollar value on this chart and be sure the dollar value is included in the letters of commitment. Letters committing sweat equity must include the methodology for arriving at the dollar value. If sweat equity value is based on hours worked then these hours will be valued at \$10 per hour. The leverage value of fee deferrals will be based on “net present value”, for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.

Private Leverage Source	Amount in Dollars in Letter from Source	Date of Commitment Letter (attach a copy of the letters)

1997 and 1998 Colonias
Activity Description Form for Housing New Construction
Applicant

2. Sources and Uses Form. Show all funds you plan to use: the CDBG funds applied for, the non-CDBG funds from leverage charts #1a. and b., and all other funding sources that will be used on the entire project.

SOURCES

USES	State CDBG	Local Financial	Private Financial	Program Income	Federal	Other State
Land Acquisition						
Building Acquisition						
Construction On-Site						
Construction Off-Site						
Equipment						
Final Plans & Specs						
Fees						
Contingency						
General Administration						
Activity Delivery						
Relocation						
Other						
Total						

**1997 and 1998 Colonias
Activity Description Form for Housing Acquisition
Instructions**

A. NEED FOR THE ACTIVITY. Enter the name of the jurisdiction on the top of each page of the application in the space provided.

1. Activity. Check all applicable boxes--you may check more than one.
2. Description. Project description, site control, and environmental clearance information.
 - a. Narrative Description. Provide a brief narrative about the proposed project. Give information about the use of CDBG funds, what the total project will cost, the number of units, the total number of beneficiaries, and a breakdown of TIG and LTIG beneficiaries.

Example: The City of ABC will use the \$500,000 to assist a nonprofit corporation to acquire and rehabilitate 22 units for TIG households. The CDBG funds will be used as part of a \$3.5 million, 50-unit, rental acquisition and rehabilitation project in the central business district of the City. Other funds are being provided by the nonprofit corporation, tax credit investors (TCAC commitment is in place), and the ABC Bank Community Investment fund.

- b. Site Control. Answer, if applicable, and attach documentation. Examples of site control include an option to purchase or a purchase agreement, or an option to lease. Include documentation that rights of way or easements have been obtained. Site control is usually not applicable for homebuyer acquisition programs because the buyers will locate homes themselves.

Options should allow sufficient time for the CDBG process; i.e., the option should allow for at least 4-6 months beyond the projected award date.

- c. Environmental Clearance. Environmental impacts must be discussed for NEPA. Show actual (if known) or estimated level of environmental clearance for each set of environmental provisions. Scheduling and budgeting should allow for sufficient time and funds to complete environmental clearances prior to commencement of activities.

NOTE: If you already have a NEPA environmental review record (ERR) for your proposed project that was prepared by another agency (e.g., USDA-RD), this ERR may or may not satisfy NEPA requirements for HUD purposes. Although new agreements are being crafted for cooperation between State and Federal funding agencies (primarily for public works projects), as of the time this application went to printing, these were not finalized. Please contact your CDBG representative for

1997 and 1998 Colonias
Activity Description Form for Housing Acquisition
Instructions

further guidance on avoiding ERR duplication.

3. Overpayment. Enter the percent of all **renter** households who are paying more than 25% of their income for housing. You must use 1990 Census data for this number. Overpayment data are available in the 1990 Census Summary Tape File 3A, Table H50.
4. Overcrowding. Enter the percent of households living in overcrowded conditions. This is the percent of total occupied housing units in which there are 1.01 persons or more living per room. You must use 1990 Census data for this number. Overcrowding data are available in the 1990 Census Summary Tape File 1A, Table H21 (a sample is contained in Appendix H).
5. Need for New Units.
 - a. For Rental Projects: Provide the rental vacancy rate for the entire jurisdiction. Target areas are allowed only for geographically isolated areas of counties. Recent surveys or Census data are acceptable documentation. If you use 1990 Census data, refer to the Census Summary Tape File 1A, General Profiles for the jurisdiction-wide rental vacancy rate. Indicate whether the data used is from the Census or from a local survey and provide the Census table or the summary of the survey.
 - b. For Homeownership Acquisition Programs: Provide the jurisdiction's homeownership rate. Use 1990 Census Summary File 3A, General Profile, "Occupied housing units" and "Specified owner-occupied housing units". Note: "Occupied housing units" is used because it equals the number of households in the jurisdiction, and it eliminates vacant units.
6. Supplemental information. Applicants may provide additional narrative regarding the need for the proposed activity if they believe the standard statistical data sources do not adequately represent local conditions. Use the space provided if you have extraordinary or unique local conditions.

B. TARGETED INCOME GROUP BENEFIT

1. In the space provided, enter the percentage of the total project beneficiaries who would be TIG households.
2. If this is a non-senior project check "yes" if the TIG benefit is 51 percent or greater. Check "no" if fewer than 51 percent of the beneficiary households would be TIG households.

**1997 and 1998 Colonias
Activity Description Form for Housing Acquisition
Instructions**

3. Answer yes if this is a non-senior, multi family project.
4. Compare the percent of benefit to TIG households with the percent of CDBG dollars relative to the total development cost (TDC). For example, a potential \$1,000,000 project may be designed to set aside 40 percent of the finished project for TIG households. If the applicant is requesting \$400,000 of CDBG funds, which is 40 percent of the TDC. The application meets the test that the percent benefit to TIG households is equal to or great than the percent of TDC that CDBG dollars represent.

C. PERFORMANCE/CAPACITY

1. Check yes or no to indicate if the applicant has grants for the funding years 1994, 1995 and 1996. Check only for grants from the General and Colonia Allocations. If you had only Economic Development and/or Planning and Technical Assistance grants during those years, check no.
2. If you checked no to #1, check the appropriate box to indicate how the applicant plans to administer this grant. Depending on which box you check, attach the requested documentation.
3. If the purpose of this application is to provide assistance to a local nonprofit corporation to carry out a CDBG-eligible activity, answer yes.

D. LEVERAGE

1. Other funding commitments. The Department will award points in two categories of leverage: local financial contributions and private financial contributions.
 - a. Local leverage. Clearly identify the local source of funds and give the dollar amount as shown in the local Resolution. Write in the number of the Resolution and attach an adopted, signed, and dated copy.

**1997 and 1998 Colonias
Activity Description Form for Housing Acquisition
Instructions**

Notes regarding Local funds:

- Local Redevelopment Agency funds are an acceptable local contribution. If you use these funds, you must attach a separate Resolution from the RDA.
- Show only those funds that originated at the local level; do not show funds that came from state or Federal sources.
- If the applicant is a City and the County in which that City is located makes a contribution to this application, the County funds will be counted as a local contribution (as long as the source of County money is not state or federal funds).
- Program Income from prior CDBG grants may not be used for local leverage.

Notes regarding Local complementary activities with a dollar value:

- In-kind contributions. Jurisdictions may choose to contribute some form of in-kind services. This could be staff time or the value of other administrative services. See the Information and Changes section of this Application for more information. If you use in-kind, specify the dollar value and whether and how much you are contributing to General Administration and/or Activity Delivery.
- Fee waivers. If the local contribution includes fee waivers, show the dollar value of those waivers on this chart.
- Fee deferrals. If the local contribution includes fee deferrals, the leverage value of the deferrals will be based on “net present value”, for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.
- Infrastructure improvements. If the jurisdiction proposes infrastructure improvements as a local contribution, this work must be related to the proposed CDBG activity. For example, if a jurisdiction proposes to use redevelopment agency revenues to fund infrastructure improvements in the jurisdiction, points will only be awarded if these improvements are done in conjunction with the CDBG activity.

Points will not be awarded if the CDBG activity is in one section of

1997 and 1998 Colonias
Activity Description Form for Housing Acquisition
Instructions

a jurisdiction and infrastructure improvements are being done in another part of the community. In the section of this application where you describe the proposed activity, tell us how this local complementary activity is related to the CDBG activity.

- Highway Users Taxes (gas taxes). If the jurisdiction proposes to use gas taxes in support of a housing acquisition activity, the identified gas tax amount must be restricted to the street(s) on which CDBG-assisted units will be located.
- b. Private leverage. Clearly identify all sources of private leverage. Enter the dollar amounts being contributed and make sure the amounts in the chart match the amount on the letters of commitment (i.e., do not just indicate "contribution of materials;" specify the dollar value of the contribution). Enter the date of the commitment letter and attach a copy of the letter (letters must be recent--within six months of submitting this application). Commitment letters must be on the funding sources' letterhead.

Notes:

- Funds from private organizations (including non-profits). If a non-governmental organization is contributing funds and the source of those funds is State or federal funding, the contribution will not be counted. Be sure to clearly indicate the source of such contributions.
- Sweat equity contributions. If the jurisdiction shows sweat equity as a private leverage contribution, provide a letter or other documentation that clearly shows how the value of the labor was calculated. Statements such as "based on past experience" are not adequate. If sweat equity value is based on hours worked then these hours will be valued at \$10 per hour.
- The leverage value of fee deferrals will be based on "net present value", for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.

2. Sources and Uses form.

Sources. The major funding sources are printed on the form. The amounts and

**1997 and 1998 Colonias
Activity Description Form for Housing Acquisition
Instructions**

sources for local and private contributions should match to the information provided on leverage tables 1.a. and 1.b. In addition, make entries here for any state, federal, or other sources not shown on the leverage tables that you will be using to finance the entire project. For "other state" funds, if any are from another HCD program, please identify that program on this chart.

Uses. Identify the cost categories applicable to your proposed project and enter the amounts you plan to use. Allocate the amounts across the table to the funds you expect to receive from all the sources listed. This chart should include costs for the entire project (not just the CDBG portion). Your cost estimates can assist you in calculating these entries.

For the Construction line, include a factor for Davis-Bacon wages when applicable. The Equipment category could include items such as outdoor playground equipment. Examples of fees that should be listed are commissions to brokers or closing costs for the acquisition of land or a building. All construction costs should include a contingency established in the line item. General administration costs should include staff time for clearing the grant agreement special conditions and grant reporting.

A. NEED FOR THE ACTIVITY

1. What will the CDBG dollars be used for?
 - ☐ Acquisition of existing rental housing, the majority of units of which are occupied
 - ☐ Acquisition of "at-risk" housing
 - ☐ Housing rehabilitation (in conjunction with acquisition)
 - ☐ Homebuyer assistance (for units already built at the time of application)
 - ☐ Other (explain)

2. Project description, site control, and environmental clearance.

- a. Briefly describe the project. If you are proposing a combination activity or multi-year grant, explain all aspects of these activities. If multi-year, explain why the activity cannot be accomplished in one year. If this activity is part of a larger project, please describe the whole project and how the CDBG-funded portion fits into that project.

- b. Site control. Do you have site control in place for at least 4 to 6 months beyond the anticipated CDBG award date?

- ☐ Yes. Attach documentation.
- ☐ No. Explain status in the space provided below.

NOTE: Site acquisition costs incurred prior to the award of a grant, execution of a grant agreement, and clearance of any special conditions are not reimbursable from the grant.

- c. Environmental clearance. Describe the anticipated levels of environmental

clearance for NEPA.

3. Overpayment. Enter the percent of all renter households who are paying more than 25% of income for housing:

Renters overpaying: _____%

4. Overcrowding. Enter the percent of total households who are overcrowded:

Overcrowding: _____%

5. Need for the Acquisition of Units (Answer each applicable question)

- a. For Rental Acquisition Projects: Enter the percent(s) of rental units that are vacant in the entire jurisdiction. Use either the appropriate vacancy rate from 1990 Census Summary File 1A, General Profile, or from a local survey. Indicate whether the Census or a survey was used.

Rental Vacancy Rate: _____% Census or survey?

ATTACH THE CENSUS TABLE OR THE RESULTS OF THE LOCAL SURVEY

- b. For Homeownership Acquisition Programs: Enter the percentage of all occupied housing units in the jurisdiction which are owner-occupied. Use 1990 Census Summary File 3A, General Profile, "Occupied housing units" and "Specified owner-occupied housing units". Note: "Occupied housing units" is used because it equals the number of households in the jurisdiction, and it eliminates vacant units.

Homeownership Rate: _____%

ATTACH THE CENSUS TABLE

**1997 and 1998 Colonia
Activity Description Form for Housing Acquisition
Applicant**

6. Supplemental information. If you have extraordinary or unique local conditions that you feel are not adequately documented by the standard data sources, use the space below to provide supplemental information.

B. TARGETED INCOME GROUP BENEFIT

1. What percent of households benefiting from this proposed activity are TIG households? _____%

C. PERFORMANCE/CAPACITY

1. Does the applicant have any CDBG General or Colonia Allocation grants for the years 1994, 1995 or 1996?

- ☐ Yes. Stop here and go on to Part D., Leverage
☐ No. Continue to question #2 below.

2. If funded from this application, how will you administer the grant? All applicants who respond to this question must attach supporting documentation.

- ☐ With in-house staff only. Attach resumes and duty statements of staff who will be performing the work.
- ☐ With consultant services only. Attach a letter of interest from a consultant that includes brief resumes of experience administering CDBG projects. Neighboring jurisdictions who have previously administered a CDBG project may be considered consultants for purposes of this question.
- ☐ Some combination of in-house and consultant services. Describe: _____

Attach resumes, duty statements, letter, etc. as indicated above.

3. **Is this application for the purpose of assisting a nonprofit corporation to carry out a CDBG eligible activity?** Yes _____ No _____

1997 and 1998 Colonia
Activity Description Form for Housing Acquisition
Applicant

D. LEVERAGE. This section of the application has two parts--1. information about other funding commitments for the proposed project and 2. information about how the funds will be used. Part 1 consists of three separate information blocks.

1. Other funding commitments. List the amounts and sources of contributions other than CDBG. Attach documentation of commitments.

a. Local Leverage. If any of the local contributions are from a Redevelopment Agency, please attach a separate Resolution from the RDA. Identify the original source of the local funds (i.e., some local funds may have originated as Federal or state funding passed on to the locality. If such is the case, the funds will not be counted as a local contribution for scoring purposes). The leverage value of fee deferrals will be based on “net present value”, for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.

Local Leverage Source	Amount in Dollars in Resolution	Resolution Number (attach a copy of the Resolution)
General administration		
Activity delivery		

1997 and 1998 Colonia
Activity Description Form for Housing Acquisition
 _____ **Applicant**

- b. Private Leverage.** If labor and materials are being contributed, assign a dollar value on this chart and be sure the dollar value is included in the letters of commitment. Letters committing sweat equity must include the methodology for arriving at the dollar value. If sweat equity value is based on hours worked then these hours will be valued at \$10 per hour. The leverage value of fee deferrals will be based on “net present value”, for the period of the deferral, at the approximate cost of funds. Please attach your calculations if applicable.

Private Leverage Source	Amount in Dollars in Letter from Source	Date of Commitment Letter (attach a copy of the letters)

1997 and 1998 Colonia
Activity Description Form for Housing Acquisition
Applicant

- 2. Sources and Uses Form.** Show all funds you plan to use: the CDBG funds applied for, the non-CDBG funds from leverage charts #1a. and b., and all other funding sources that will be used on the entire project.

SOURCES

USES	State CDBG	Local Financial	Private Financial	Program Income	Federal	Other State
Land Acquisition						
Building Acquisition						
Construction On-Site						
Construction Off-Site						
Equipment						
Final Plans & Specs						
Fees						
Contingency						
General Administration						
Activity Delivery						
Relocation						
Other						
Total						

**1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Instructions**

A. NEED FOR THE ACTIVITY. Enter the name of the jurisdiction at the top of each page in the space provided.

1. Check the appropriate box. If you check target area, you will be held to performing in that area.
2. Provide a brief narrative about the proposed project and the area in which the rehabilitation program will be located. If the program is jurisdiction-wide, a statement of such is all that is needed. If the program is in a target area, give a brief description of the area, the beneficiaries, and the anticipated work to be done.

Example: The County of Essex has selected four unincorporated towns as target areas for this grant. The towns of Sussex, Yorkshire, Hudson, and Chelsea were selected because of the high percent of TIG households and large number of homes in need of rehabilitation. The County anticipates rehabilitating 15 houses and also plans to use 10 percent of the activity dollars to provide infrastructure improvements to or near these homes (water and sewer lines, install curbs and gutters).

3. For applicants with a jurisdiction-wide housing rehabilitation program, or a target area program where current survey data is not available, complete this section.

- a. Dilapidated units. Enter the percent of total housing units unsuitable for rehabilitation due to an advanced stage of deterioration.

This percent must be as reported in the latest adopted Housing Element submitted to the HCD's Housing Policy Development Division--enter the page number of data location in the housing element in the space provided and attach a copy of that page. If the applicant does not have a Housing Element, contact a CDBG field representative for guidance.

- b. Units suitable for rehabilitation. Enter the percent of total housing units that are deteriorated but suitable for rehabilitation.
This percent must be as reported in the latest adopted Housing Element submitted to the HCD's Housing Policy Development Division--enter the page number of data location in the housing element in the space provided and attach a copy of that page. If the applicant does not have a Housing Element, contact a CDBG field representative for guidance.

4. For applicants proposing a rehabilitation program in a target area and have completed a survey of the target area using the survey form contained in the 1997

**1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Instructions**

Grant Management Manual, complete this section.

- a. Enter the total housing units in the target area which are suitable for rehabilitation
- b. Enter the total housing units which are dilapidated and unsuitable for rehabilitation.

Applicants must attach a copy of the survey form used and the survey summary.

- 5. Enter the percent of housing stock over 30 years of age (pre 1960) as shown in the 1990 Census Summary Tape 3A, Table H25.
- 6. Enter the percent of households who are overcrowded as shown in the 1990 Census Summary Tape File 1A, Table H21.
- 7. Supplemental information. Applicants may provide additional narrative regarding the need for the proposed activity if they believe the standard statistical data sources do not adequately represent local conditions. Use the space provided if you have extraordinary or unique local conditions, (e.g., recent flooding impacts not yet reflected in housing element).

B. TARGETED INCOME GROUP BENEFIT

TIG Benefit. Indicate if the benefit was determined by a method of income restriction. If such method was not used, explain the basis of TIG benefit.

C. PERFORMANCE/CAPACITY

- 1. Check yes or no to indicate if the applicant has grants for the funding years 1994, 1995 or 1996. Check only for grants from the General and Colonia Allocations. If you had only Economic Development and/or Planning and Technical Assistance grants during those years, check no.
- 2. If you checked no to #1, check the appropriate box to indicate how the applicant plans to administer this grant. Depending on which box you check, attach the requested documentation.
- 3. If the purpose of this application is to provide assistance to a local non-profit corporation to carry out a CDBG eligible activity, answer yes.

D. LEVERAGE

The Department will award points in two categories of leverage: local financial contributions and private financial contributions.

1. Local leverage. Clearly identify the local source of funds and give the dollar amount as shown in the local Resolution. Write in the number of the Resolution and attach an adopted, signed, and dated copy.

Notes regarding Local funds:

- Local Redevelopment Agency funds are an acceptable local contribution. If you use these funds, you must attach a separate Resolution from the RDA.
- Show only those funds that originated at the local level; do not show funds that came from state or Federal sources.
- If the applicant is a City and the County in which that City is located makes a contribution to this application, the County funds will be counted as a local contribution (as long as the source of County money is not state or federal funds).
- Program Income from prior CDBG grants may not be used for local leverage.

Notes regarding Local complementary activities with a dollar value:

- In-kind contributions. Jurisdictions may choose to contribute some form of in-kind services. This could be staff time or the value of other administrative services. See the Information and Changes section of this Application for more information. If you use in-kind, specify the dollar value and whether and how much you are contributing to General Administration and/or Activity Delivery.
- Fee waivers. If the local contribution includes fee waivers, show the dollar value of those waivers on this chart.
- Infrastructure improvements. If the jurisdiction proposes infrastructure improvements as a local contribution, this work must be related to the proposed CDBG activity. For example, if a jurisdiction proposes to use gas tax revenues to fund infrastructure improvements in the jurisdiction,

**1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Instructions**

points will only be awarded if these improvements are done in conjunction with the CDBG activity.

Points will not be awarded if the CDBG activity is in one section of a jurisdiction and infrastructure improvements are being done in another part of the community. In the section of this application where you describe the proposed activity, tell us how this local complementary activity is related to the CDBG activity.

2. Private leverage. Clearly identify all sources of private leverage. Enter the dollar amounts being contributed and make sure the amounts in the chart match the amount on the letters of commitment (i.e., do not just indicate "contribution of materials;" specify the dollar value of the contribution). Enter the date of the commitment letter and attach a copy of the letter (letters must be recent--within six months of submitting this application). Commitment letters must be on the funding source letterhead.

Notes:

- Funds from private organizations (including non-profits). If a non-governmental organization is contributing funds and the source of those funds is state or federal funding, the contribution will not be counted. Be sure to clearly indicate the source of such contributions.
- Sweat equity contributions. If the jurisdiction shows sweat equity as a private leverage contribution, provide a letter or other documentation that clearly shows how the value of the labor was calculated. Statements such as "based on past experience" are not adequate. If sweat equity value is based on hours worked, these hours will be valued at \$10 per hour.

A. NEED FOR THE ACTIVITY

1. What will the CDBG dollars be used for?
 - ☐ Jurisdiction-wide program
 - ☐ Target area program. (Depending on local indicators and census data, jurisdictions may be able to strengthen their application by proposing an activity in a targeted area with high indicators of poverty.)
2. Briefly describe the project. If you are proposing a combination activity or multi-year grant, explain all aspects of these activities. If the application is for two funding cycles, explain why the activity cannot be accomplished with one year of funding or why the project cannot be phased. If this activity is part of a larger project, please describe the whole project and how the CDBG-funded portion fits into that project.
3. Jurisdiction-wide rehabilitation programs or target areas without current survey data.
 - a. Dilapidated units. Enter the percent of housing units, jurisdiction-wide, that are dilapidated and not suitable for rehabilitation: _____.

Enter the page number in your housing element where the above percent is documented and attach a copy of that page: page ____.
 - b. Suitable for rehabilitation. Enter the percent of housing units, jurisdiction-wide, that are suitable for rehabilitation: _____.

Enter the page number in your housing element where the above percent is documented and attach a copy of that page: page ____.
4. Target area rehabilitation programs with current survey data

1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
_____**Applicant**

- a. Suitable for rehabilitation. Enter the percent of housing units within the target area that are suitable for rehabilitation: _____%
- b. Dilapidated units. Enter the percent of housing units within the target area that are dilapidated and unsuitable for rehabilitation: _____%

Attach a copy of the survey form used and a summary of the survey.

5. What is the percentage of housing stock over 30 years of age (pre-1960) as shown in the 1990 Census Summary Tape File 3A, Table H25. _____%

ATTACH THE CENSUS TABLE TO THE APPLICATION

A sample of Census Summary Tape File 3A, Table H25 is in Appendix H

6. What is the percentage of households who are overcrowded as shown in the 1990 Census Summary Tape, File 1A, Table H21. _____%

ATTACH THE CENSUS TABLE TO THE APPLICATION

A sample of Census Summary Tape File, Table H21 is in Appendix H

7. Supplemental information. If you have some extraordinary or unique local conditions that you feel are not adequately documented by the standard data sources, use the space below to provide supplemental information.

B. TARGETED INCOME GROUP BENEFIT

1. For the proposed project, what percentage of benefiting households will be TIG? _____%
2. Was the TIG percentage stated above determined by income restrictions?
- ☐ Yes.
- ☐ No, please explain the method for determining TIG benefit in the space below.

C. PERFORMANCE/CAPACITY

**1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Applicant**

1. Does the applicant have any CDBG General or Colonia Allocation grants for the years 1994, 1995 or 1996?
- ☐ Yes. Stop here and go on to Part D., Leverage
- ☐ No. Continue to question #2 below.
2. If funded from this application, how will you administer the grant? All applicants who respond to this question must attach supporting documentation with this application.
- ☐ With in-house staff only
Attach resumes and duty statements of staff who will be performing the work.
- ☐ With consultant services only
Attach a letter of interest from a consultant that includes brief resumes of experience administering CDBG projects. Neighboring jurisdictions who have previously administered a CDBG project may be considered consultants for purposes of this question.
- ☐ Some combination of in-house and consultant services.
Describe _____

- Attach resumes, duty statements, letter, etc. as indicated above.
3. **Is this application for the purpose of assisting a non-profit corporation to carry out a CDBG eligible activity?** Yes_____ No_____

D. LEVERAGE

This section of the application has three separate blocks to provide information about other funding commitments for the proposed project. List the amounts and sources of contributions other than CDBG. Attach documentation of commitments.

1. Local Leverage. If any of the local contributions are from the Redevelopment Agency, please attach a separate Resolution from the RDA. Identify the original source of the local funds (i.e., some local funds may have originated as Federal or state funding passed on to the locality. If such is the case, the funds will not be counted as a local contribution for scoring purposes).

Local Leverage Source	Amount in Dollars in Resolution	Resolution Number (attach a copy of the Resolution)
General administration		
Activity delivery		

1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
_____**Applicant**

2. Private Leverage. If labor and materials are being contributed, assign a dollar value on this chart and be sure the dollar value is included in the letters of commitment.

Private Leverage Source	Amount in Dollars in Letter from Source	Date of Commitment Letter (attach a copy of the letters)

1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Applicant

A. NEED FOR THE ACTIVITY. Enter the name of the jurisdiction on the top of the page in the space provided.

1. Activity. Check all applicable boxes--you may check more than one.
2. Description. Project description, site control, and environmental clearance information.
 - a. Provide a brief narrative about the project. Give information about the use of CDBG funds, what the total project will cost, the total number of beneficiaries, and a breakdown of TIG and LTIG beneficiaries. As relevant, provide information on the number of staff, what service they will be providing, their time base (full/part-time) and pay rate, including benefits, and the duration of time involved for the entire activity.

Example 1--Community Facilities. The City of XYZ will grant \$500,000 to the non-profit organization, the Battered Spousal Center of XYZ, to purchase and rehabilitate a building to house battered spouses and their children. These funds represent the total cost of the project. The City estimates the Center will provide services to 10 families/50 persons a week.

Example 2--Public Services. The City of XYZ will use \$175,000 of the grant request to provide the salary and benefits to one full-time caseworker (40 hours per week) and one part-time caseworker (20 hours per week). These staff will provide counseling and outreach to battered spouses for the 30 months of the standard agreement.

- b. **Site Control.** If your project involves site control, please answer the question on the form. Examples of site control include an option to purchase or a purchase agreement, an option to lease or a leasehold interest, or a deed of trust. Include documentation that rights of way or easements have been obtained.

Options should allow sufficient time for the CDBG process; i.e. where a site is to be purchased with CDBG funds, the option should allow for at least 4-6 months beyond the projected award date.

- c. **Environmental Clearance.**

Environmental impacts must be discussed for NEPA. Show actual (if known) or estimated level of environmental clearance for the activity. Scheduling and budgeting should allow for sufficient time and funds to complete environmental clearances prior to commencement of activities. Community Facilities/Public Services activities may require a more elaborate level of environmental clearance than other types of community

1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Applicant

development.

NOTE: If you have environmental review documents for your proposed project that were prepared by another agency, these documents may or may not satisfy environmental review requirements for HUD purposes. You may wish to contact a CDBG representative for further guidance.

3. Describe the problem to be addressed. Be as specific as possible; quantify wherever possible to document the scope, magnitude, duration, and impacts of the problem.
4. Check the appropriate box(es) indicating how the problem was determined. Attach copies of relevant documentation. The most effective methods of documentation include:
 - a. surveys of intended beneficiaries regarding their needs and the impacts of not having the facility or service
 - b. surveys or records of existing service levels and needs showing the number of people served and turned away due to inadequate facilities or funds (unmet demand).
 - c. letters from law enforcement, mental health, and health agencies describing the direct health and safety impact on primarily TIG people that results from the lack of services or facilities
5. Discuss how and to what extent the proposed action will solve the problem. Describe and provide documentation of any commitments by providers to provide services.
6. Briefly describe the services to be provided and its current availability locally. If not available locally, where is the nearest provider. If not located locally, are there any special impediments for TIG households to access this service? If an increase in services is proposed, describe the unmet demand for this increase.
7. If the service to be provided is an ADA accessibility issue, what alternatives to this activity was considered? For example, the application is to install an elevator in a city hall to provide access to the Housing Rehabilitation Program. Did the application consider all possible options, for example could you relocate the Housing Rehabilitation Program downstairs?
8. For the documentation chart, indicate in the column marked "Documentation," the type of documentation used--e.g., a letter, resolution, newspaper clipping, report,

**1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Applicant**

etc., and attach a copy of the documentation. In the column marked “Commitment to provide services,” indicate the services committed to by provider. Enter the name and phone number of a contact person for each source used. Applications submitted for Community Facilities/Public Services addressing serious problems should include strong documentation in the form of a needs analysis, user/beneficiary survey, and letters from local agencies.

B. TARGETED INCOME GROUP BENEFIT

1. In the space provided, enter the percent of TIG households that will benefit from the proposed activity.
2. Check the box(es) indicating how the TIG benefit was determined. If the applicant does not provide information, the Department will assign points based on the percentage of families in the jurisdiction that are TIG.

Income restriction: applicants should demonstrate there is an explicit limitation, based on income, for who is eligible to benefit from the project. (Note: Charging a fee to non-TIG project beneficiaries does not exclude them from being considered CDBG beneficiaries.)

Income survey: applicants should conduct a survey of existing and/or potential beneficiaries.

Limited Clientele: For the purposes of assigning a benefit score, absent evidence to the contrary, 100% TIG benefit will be presumed for activities that exclusively serve a group of persons in any one or a combination of the following categories: abused children, battered spouses, adults meeting the Bureau of the Census’ Current Population Report’s definition of “severely disabled,” homeless persons, illiterate adults, persons living with AIDs, and migrant farmworkers.

Other: explain any other source that was used, e.g., waiting lists.

3. If a survey was used, please answer items a. through e. Please refer to the Appendix in this package for information on conducting surveys.

C. PERFORMANCE/CAPACITY

1. Check yes or no to indicate if the applicant has grants for the funding years 1994, 1995 or 1996. Check only for grants from the General and Colonia Allocations. If you had only Economic Development and/or Planning and Technical Assistance grants during those years, check no.
2. If you checked no to #1, check the appropriate box to indicate how the applicant plans to administer this grant. Depending on which box you check, attach the

requested documentation.

3. If the purpose of this application is to provide assistance to a local non-profit corporation to carry out a CDBG eligible activity, answer yes.

D. LEVERAGE

1. Other funding commitments. The Department will award points in two categories of leverage: local financial contributions and private financial contributions.

Notes regarding acceptable leverage for community facilities and public services activities:

- For community facility activities, leverage points will be earned for contributions made toward the actual acquisition, rehabilitation, or new construction of the facility. Leverage credit will also be awarded for contributions towards new equipment integral to the operation of the facility and contributions toward new inventory for the first year of operations.
 - If the proposed activity is a public service, contributions towards payment of salaries; and purchase of new supplies, equipment, inventory, or operating expenses for the grant term may be counted as leverage.
 - If the proposed activity is a combination community facility/public service activity, leverage contributions toward the construction or improvement of the facility; equipment, materials, and supplies; inventory; salaries; and operating expenses will be counted.
 - If the proposed activity is an increase in existing service(s), leverage contributions associated with the increase will be counted for assigning a score for leverage.
 - On the leverage chart, when claiming leverage credit for salaries, inventory, and operating expenses, please clearly state the time period for which the leverage is claimed. For example, "United Way - Shelter Coordinator Salary (one year)," or "Safeway - increase in donated food (two years)."
- 1.a. Local leverage. Clearly identify the local source of funds and give the dollar amount as shown in the local Resolution. Write in the number of the Resolution and attach an adopted, signed, and dated copy.

Notes regarding local funds:

1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Applicant

- Local Redevelopment Agency funds are an acceptable local contribution. If you use these funds, you must attach a separate Resolution from the RDA.
- Show only those funds that originated at the local level; do not show funds that came from state or Federal sources.
- If the applicant is a City and the County in which that City is located makes a contribution to this application, the County funds will be counted as a local contribution (as long as the source of County money is not state or federal funds).
- Program Income from CDBG grants may not be used for local leverage.

Notes regarding local complementary activities with a dollar value:

- In-kind contributions. Jurisdictions may choose to contribute some form of in-kind services. This could be staff time or the value of other administrative services. If you use in-kind, specify the dollar value and whether and how much you are contributing to General Administration and/or Activity Delivery.
- Fee waivers. If the local contribution includes fee waivers, show the dollar value of those waivers on this chart.
- Infrastructure improvements. If the jurisdiction proposes infrastructure improvements as a local contribution, this work must be related to the proposed CDBG activity. For example, if a jurisdiction proposes to use gas tax revenues to fund infrastructure improvements in the jurisdiction, points will only be awarded if these improvements are done in conjunction with the CDBG activity.

Points will not be awarded if the CDBG activity is in one section of a jurisdiction and infrastructure improvements are being done in another part of the community. In the section of this application where you describe the proposed activity, tell us how this local complementary activity is related to the CDBG activity.

- 1.b. Private leverage. Clearly identify all sources of private leverage. Enter the dollar amounts being contributed and make sure the amounts in the chart match the amount on the letters of commitment (i.e., do not just indicate "contribution of materials;" specify the dollar value of the contribution). Enter the date of the commitment letter and attach a copy of the letter

1997 and 1998 Colonia
Activity Description Form for Housing Rehabilitation
Applicant

(letters must be recent--within six months of submitting this application).
Commitment letters must be on the funding source letterhead.

Notes:

- Funds from private organizations (including non-profits). If a non-governmental organization is contributing funds and the source of those funds was state or federal funding, the contribution will not be counted. Be sure to clearly indicate the source of such contributions.
- Volunteer labor. If the jurisdiction shows volunteer labor as a private leverage contribution, provide a letter or other documentation that clearly shows how the value of the labor was calculated. Statements such as "based on past experience" are not adequate.

2. Sources and Uses form.

Sources. The major funding sources are printed on the form. The amounts and sources for local and private contributions should match to the information provided on leverage tables 1.a. and 1.b. In addition, make entries here for any state, federal, or other sources not shown on the leverage tables that you will be using to finance the entire project. For "other state" funds, if any are from another HCD program, please identify that program on this chart.

Uses. Identify the cost categories applicable to your proposed project and enter the amounts you plan to use. Allocate the amounts across the table to the funds you expect to receive from all the sources listed. This chart should include costs for the entire project (not just the CDBG portion). Your cost estimates can assist you in calculating these entries.

For the Construction line, include a factor for Davis-Bacon wages. The Equipment category could include items such as industrial kitchen equipment, tot-lot equipment for a daycare center, or kitchen facilities/beds for a shelter. Examples of fees that should be listed are commissions to brokers or any closing costs for the acquisition of land or a building. All construction costs should include a contingency established in the line item. General administration costs should include staff time for clearing the grant agreement special conditions and grant reporting.

1997 and 1998 Colonia
Activity Description Form for Community Facilities/Public Services
Applicant

A. NEED FOR THE ACTIVITY

1. What will the CDBG dollars be used for?

<input type="checkbox"/> Community Facilities	<input type="checkbox"/> Public Services
<input type="checkbox"/> Acquisition	<input type="checkbox"/> Salary
<input type="checkbox"/> Construction	<input type="checkbox"/> Other (describe)_____
<input type="checkbox"/> Rehabilitation	
<input type="checkbox"/> Other (describe)_____	

2. Project description, site control, and environmental clearance.
 - a. Briefly describe the project and/or the service to be provided. If you are proposing a combination activity or multi-year grant, explain all aspects of these activities. If multi-year, explain why the activity cannot be accomplished in one grant term. If the project involves activities that will involve various user groups, describe the uses of the building/facility and include estimates for percentages of time projected for use by each user group.

 - b. Site control. If the proposed project involves site acquisition, please answer the following question. NOTE: Site acquisition costs incurred prior to the award of a grant, execution of a grant agreement, and satisfaction of any special conditions are not reimbursable from the grant.

Do you have site control in place for at least 4 to 6 months beyond the anticipated CDBG award date?

<input type="checkbox"/>	Yes. Attach documentation.
<input type="checkbox"/>	No. Explain status in the space provided below.

 - c. Environmental clearance. Describe the anticipated level of environmental clearance for NEPA.

3. What basic problem will this activity address?

1997 and 1998 Colonia
Activity Description Form for Community Facilities/Public Services
Applicant

4. How was this problem determined?
- a. Survey of intended beneficiaries? ☐ Yes ☐ No
 - b. Survey of existing service levels? ☐ Yes ☐ No
 - c. Letters describing the direct health and safety impact? ☐ Yes ☐ No
5. Explain how and to what extent the proposed project will solve this problem. Are services providers committed?
6. Please describe below and on additional sheets, if necessary, each service to be provided, continued or increased. If multiple services are proposed , answer the following questions for each service.
- a. Service(s) to be provided, continued, or increased.
 - b. Is each service currently available locally?
 - c. If not locally available, where is the nearest facility currently providing the proposed service?
 - d. If this is a proposed increase in an existing service, what is the unmet demand?
 - e. Are there any special impediments for TIG households to access this service?
7. If this is an ADA accessibility issue, what alternatives did you consider and why is this alternative the best solution?

1997 and 1998 Colonia
Activity Description Form for Community Facilities/Public Services
Applicant

8. **Documentation of problem and commitment to provide services** . In the column marked "Documentation," indicate the type of documentation (e.g., letter, resolution, newspaper clipping, report, etc.) and attach a copy of the documentation. In the column marked "Commitment to provide services" indicate the service(s) committed to by funding or provider source, and attach documentation. Enter the name and phone number of a contact person.

SOURCE	DOCUMENTATION OF PROBLEM	COMMITMENT TO PROVIDE SERVICES	CONTACT PERSON/PHONE NUMBER
Dept. of Health Services			
County Health Department			
Fire Department			
Law Enforcement Agency			
Department of Social Services			
Newspaper			
Engineering Firms			
Board of Supervisors			
Other			

B. TARGETED INCOME GROUP BENEFIT

1. What percent of households benefiting from this proposed activity are TIG households?
 _____%
2. TIG benefit--how was it determined?
 - a. Income restriction? ☐ Yes ☐ No
 - b. Income survey of existing beneficiaries? ☐ Yes ☐ No
 - c. Income survey of potential beneficiaries? ☐ Yes ☐ No
 - d. Limited Clientele (presumed benefit)? ☐ Yes ☐ No
 - e. Other? _____ Please attach documentation for the TIG benefit.
3. You are not required to have done a survey to establish benefit under Community Services/Public Services, but if you did conduct a survey, please answer the following:

1997 and 1998 Colonia
Activity Description Form for Community Facilities/Public Services
Applicant

- | | | |
|----|--|-------|
| a. | Survey date | _____ |
| b. | Total # of anticipated beneficiaries | _____ |
| c. | Number of households or persons surveyed | _____ |
| d. | Number of responses | _____ |
| e. | Number of TIG respondents | _____ |

C. PERFORMANCE/CAPACITY

1. Does the applicant have any CDBG General and/or Colonia Allocation grants for the years 1994, 1995 or 1996?

- ☐ Yes. Stop here and go on to Part D., Leverage
- ☐ No. Continue to question #2 below.

2. If funded from this application, how will you administer the grant? All applicants who respond to this question must attach supporting documentation with this application.

- ☐ With in-house staff only
Attach resumes and duty statements of staff who will be performing the work.
- ☐ With consultant services only
Attach a letter of interest from a consultant that includes brief resumes of experience administering CDBG projects.. Neighboring jurisdictions who have previously administered a CDBG project may be considered consultants for purposes of this question.
- ☐ Some combination of in-house and consultant services.

Describe: _____
_____. Attach resumes, duty statements, letter, etc. as indicated above.

3. **Is this activity for the purpose of assisting a non-profit corporation to carry out a CDBG eligible activity?** Yes_____ No_____

D. LEVERAGE. This section of the application has two parts--1. information about other funding commitments for the proposed project and 2. information about how all the funds will be used. Part 1 consists of two separate information blocks.

1. Other funding commitments. List the amounts and sources of contributions other than CDBG (local and private). Attach documentation of commitments.
- 1.a. Local Leverage. If any of the local contributions are from a Redevelopment Agency, please attach a separate Resolution from the RDA. Identify the original source of the local funds (i.e., some local funds may have originated as Federal or state funding passed

1997 and 1998 Colonia
Activity Description Form for Community Facilities/Public Services
Applicant

on to the locality. If such is the case, the funds will not be counted as a local contribution for scoring purposes).

Local Leverage Source	Amount in Dollars in Resolution	Resolution Number (attach a copy of the Resolution)
General administration		
Activity delivery		

- 1.b. Private Leverage. If labor and materials are being contributed, assign a dollar value on this chart and be sure the dollar value is included in the letters of commitment.

Private Leverage Source	Amount in Dollars in Letter from Source	Date of Commitment Letter (attach the letter)

1998 G/NA
Activity Description Form for Community Facilities/Public Services
Applicant

2. Sources and Uses Form

Show all funds you plan to use: the CDBG funds applied for, the non-CDBG funds from leverage charts #1a. and b., and all other funding sources that will be used on the entire project.

SOURCES

USES	State CDBG	Local Financial	Private Financial	Program Income	Federal	Other State	Other Sources	Total
Land Acquisition								
Building Acquisition								
Construction On-Site								
Construction Off-Site								
Equipment								
Final Plans/Specs								
Fees								
Contingency								
Salaries								
Supplies/Materials								
General Admin								
Activity Delivery								
Other								

**1997 and 1998 Colonias
Activity Description Form for Public Works
Instructions**

A. NEED FOR THE ACTIVITY. Enter the name of the jurisdiction on the top of the page in the space provided.

1. Activity. Check all applicable boxes--you may check more than one. If CDBG will be paying for assessments, check the activity for which the assessments are being levied.

2. Description. Project description, site control, and environmental clearance information.

- a. Provide a brief narrative about the project. Give information about the use of CDBG funds, what the total project will cost, the total number of beneficiaries, and a breakdown of TIG and LTIG beneficiaries.

Example: The City of XYZ is proposing to use \$500,000 in CDBG funds to finance 600 wastewater hook-ups for TIG households in conjunction with a \$1,000,000 RDA/RECDS Water and Sewer loan and a \$43,700 RDA/RECDS grant.

- b. Site Control. If your project involves site control, please answer the question on the form. Examples of site control include an option to purchase or a purchase agreement, an option to lease or a leasehold interest, or a deed of trust. Include documentation that rights of way or easements have been obtained.

Options should allow sufficient time for the CDBG process; i.e. where a site is to be purchased with CDBG funds, the option should allow for at least 4-6 months beyond the projected award date.

- c. Environmental Clearance

Environmental impacts must be discussed for NEPA. Show actual (if known) or estimated level of environmental clearance for each set of environmental provisions. Scheduling and budgeting should allow for sufficient time and funds to complete environmental clearances prior to commencement of activities. Public Works activities may require a more elaborate level of environmental clearance than other types of community development activities.

NOTE: If you have environmental review documents for your proposed project that were prepared by another agency (e.g., RECDS), these documents may or may not satisfy environmental review requirements for HUD purposes. You may wish to contact a CDBG representative for further guidance.

3. a. Briefly describe the severe health and safety needs this activity will address.

**1997 and 1998 Colonias
Activity Description Form for Public Works
Instructions**

- b. Discuss the likelihood that the funds requested will substantially reduce or eliminate the problem.
 - c. Discuss what steps the jurisdiction has taken or is planning to take to provide for long-term operation and maintenance of the system. For example, a rate structure or financing plan to set up replacement or operating reserves, etc.
- 4. Check the appropriate box(es) indicating how the need was determined. Attach copies of relevant documentation. The most effective methods of documentation include:
 - a. surveys of existing service levels and needs showing the number of people served and turned away due to inadequate facilities or funds
 - b. letters from law enforcement, water agencies, and health agencies describing the direct health and safety impact on primarily TIG people that results from the lack of services or facilities
 - c. surveys of intended beneficiaries regarding their needs and the impacts of not having the facility or service
- 5. For the documentation chart, please indicate in the column marked "Documentation," the type of documentation used--e.g., a letter, resolution, newspaper clipping, report., etc., and attach a copy of the documentation. In the next two columns, enter the name and phone number of a contact person for each source used.

Documentation of need is a critical element of a successful public works application. The applicant should describe and discuss the problem being addressed by the proposed activity. It should also quantify the problem by including specifics on flows, supply deficiencies, and water quality problems. The most competitive applications will contain documentation from an **outside agency** stating that the problem the project is addressing is severe and health threatening. In particular, for water and sewer projects, documentation should be sought from the Department of Health Services and the State Water Resources Control Board.

B. TARGETED INCOME GROUP BENEFIT

1. In the space provided, enter the percent of TIG households that will benefit from the proposed activity.
2. Check the box(es) indicating how the TIG benefit was determined. If the applicant does not provide information, the Department will assign points based on the percentage of families in the jurisdiction that are TIG.

Income restriction: applicants should demonstrate there is an explicit limitation, based on income, for who is eligible to benefit from the project

Income survey: applicants should conduct a survey of existing and/or potential beneficiaries.

Other: explain any other source that was used, e.g., waiting lists.

3. If a survey was used, please answer items a. through e. Please refer to Appendix B in this package for information on conducting surveys.

NOTES regarding Benefit to the Targeted Income Group

When addressing a neighborhood or community-wide public works problem, benefit is generally provided to all the occupants of a geographic area or all users of the facility/service. Typically, only a portion of the CDBG funds for such an activity benefits TIG households, unless the target area is extremely depressed.

Lowered benefit will not necessarily result in an application not being funded, but any activity with less than 100 percent benefit to TIG households is likely to be at a competitive disadvantage with other activities. Therefore, it is especially important when requesting funds for public works activities, to ensure that the application is as competitive as possible for all other activity rating criteria.

If an applicant does not feel that its proposed project will serve an area that would result in a relatively high benefit to TIG households, it may wish to structure its public works activity in such a manner that focuses benefit to TIG households. For example, when sewer/water laterals on private property are installed or repaired using CDBG funds, 100 percent benefit can be directed to TIG households by assisting only TIG households with CDBG funds.

If the applicant is working with a project that requires the formation of an assessment district, CDBG funds may be used to pay the fees for TIG households. If an applicant wishes to use this approach, it is important to establish accurate, current data (through surveys usually) regarding the number and distribution of TIG households in the service area so as to be able to accurately estimate the amount of State CDBG funds that will be required to pay for the TIG assessments.

Appendix B includes a sample income survey form. Applicants are advised to evaluate the number of

**1997 and 1998 Colonias
Activity Description Form for Public Works
Instructions**

renter-occupied units when estimating both the extent and the likelihood of participation in the program if the application is successful.

C. PERFORMANCE/CAPACITY

1. Check yes or no to indicate if the applicant has grants for the funding years 1994, 1995 or 1996. Check only for grants from the General and Colonia Allocations. If you had only Economic Development and/or Planning and Technical Assistance grants during those years, check no.
2. If you checked no to #1, check the appropriate box to indicate how the applicant plans to administer this grant. Depending on which box you check, attach the requested documentation.
3. If the purpose of this application is to provide assistance to a local non-profit corporation to carry out a CDBG eligible activity, answer yes.

D. LEVERAGE

1. Other funding commitments. The Department will award points in two categories of leverage: local financial contributions and private financial contributions.

- 1.a. Local leverage. Clearly identify the local source of funds and give the dollar amount as shown in the local Resolution. Write in the number of the Resolution and attach an adopted, signed, and dated copy.

Notes regarding Local funds:

- Local Redevelopment Agency funds are an acceptable local contribution. If you use these funds, you must attach a separate Resolution from the RDA.
- Show only those funds that originated at the local level; do not show funds that came from state or Federal sources.
- If the applicant is a City and the County in which that City is located makes a contribution to this application, the County funds will be counted as a local contribution (as long as the source of County money is not state or federal funds).
- Program Income from prior CDBG grants may not be used for local leverage.

Notes regarding Local complementary activities with a dollar value:

**1997 and 1998 Colonias
Activity Description Form for Public Works
Instructions**

- In-kind contributions. Jurisdictions may choose to contribute some form of in-kind services. This could be staff time or the value of other administrative services. See the Information and Changes section of this Application for more information. If you use in-kind, specify the dollar value and whether and how much you are contributing to General Administration and/or Activity Delivery.
- Fee waivers. If the local contribution includes fee waivers, show the dollar value of those waivers on this chart.
- Infrastructure improvements. If the jurisdiction proposes infrastructure improvements as a local contribution, this work must be related to the proposed CDBG activity. For example, if a jurisdiction proposes to use gas tax revenues to fund infrastructure improvements in the jurisdiction, points will only be awarded if these improvements are done in conjunction with the CDBG activity.

Points will not be awarded if the CDBG activity is in one section of a jurisdiction and infrastructure improvements are being done in another part of the community. In the section of this application where you describe the proposed activity, tell us how this local complementary activity is related to the CDBG activity.

- 1.b. Private leverage. Clearly identify all sources of private leverage. Enter the dollar amounts being contributed and make sure the amounts in the chart match the amount on the letters of commitment (i.e., do not just indicate "contribution of materials;" specify the dollar value of the contribution). Enter the date of the commitment letter and attach a copy of the letter (letters must be recent--within six months of submitting this application). Commitment letters must be on the funding source letterhead.

Notes:

- Funds from private organizations (including non-profits). If a non-governmental organization is contributing funds and the source of those funds was state or federal funding, the contribution will not be counted. Be sure to clearly indicate the source of such contributions.
- Sweat equity contributions. If the jurisdiction shows sweat equity as a private leverage contribution, provide a letter or other documentation that clearly shows how the value of the labor was calculated. Statements such as "based on past experience" are not adequate. If sweat equity value is based on hours worked, these hours will be valued at \$10 per hour.

2. Sources and Uses form.

Sources. The major funding sources are printed on the form. The amounts and sources for local

**1997 and 1998 Colonias
Activity Description Form for Public Works
Instructions**

and private contributions should match to the information provided on leverage tables 1.a. and 1.b. In addition, make entries here for any state, federal, or other sources not shown on the leverage tables that you will be using to finance the entire project. For "other state" funds, if any are from another HCD program, please identify that program on this chart.

Uses. Identify the cost categories applicable to your proposed project and enter the amounts you plan to use. Allocate the amounts across the table to the funds you expect to receive from all the sources listed. This chart should include costs for the entire project (not just the CDBG portion).

Your cost estimates can assist you in calculating these entries.

For the Construction line, include a factor for Davis-Bacon wages. Also, all construction costs should include a contingency established in the line item. General administration costs should include staff time for clearing the grant agreement special conditions and grant reporting.

A. NEED FOR THE ACTIVITY

1. What will the CDBG dollars be used for?

- ☐ Water Distribution ☐ Sewer
☐ Flooding and Drainage ☐ Other _____

2. Project description, site control, and environmental clearance.

a. Briefly describe the project and/or the service to be provided. If you are proposing a combination activity or multi-year grant, explain all aspects of these activities. If the application is for two funding cycles, explain why the activity cannot be accomplished in one year of funding and why it cannot be phased.

b. Site control. If the proposed project involves site acquisition, please answer the following question. NOTE: Site acquisition costs incurred prior to the award of a grant, execution of a grant agreement, and satisfaction of any special conditions are not reimbursable from the grant.

Do you have site control in place for at least 4 to 6 months beyond the anticipated CDBG award date?

- ☐ Yes. Attach documentation.
☐ No. Explain status in the space provided below.

d. Environmental clearance. Describe the anticipated level of environmental clearance for

NEPA.

3.
 - a. What severe health and safety needs does this activity address?
 - b. What is the likelihood that the funds requested will substantially reduce or eliminate the problem?
 - c. Discuss what steps, if any, the jurisdiction has taken or is planning to take to provide for long-term operation and maintenance of the system.
4. How was the health and safety need determined?
 - a. Survey of existing service levels? ☐ Yes ☐ No
 - b. Survey of intended beneficiaries? ☐ Yes ☐ No
 - c. Letters describing the direct health and safety impact? ☐ Yes ☐ No

**1997 and 1998 Colonias
Activity Description Form for Public Works
Applicant**

5. Documentation of problem. In the column marked "Documentation," indicate the type of documentation (e.g., letter, resolution, newspaper clipping, report, etc.) and attach a copy of the documentation. Enter the name and telephone number of a contact person for each source used.

SOURCE	DOCUMENTATION	CONTACT	PHONE
Dept. of Health Services			
Regional Water Quality Control Board			
Department of Water Resources			
County Health Department			
Fire Department			
Law Enforcement Agency			
Department of Social Services			
Newspaper			
Engineering Firms			
Local Water Board			
Irrigation District			
Board of Supervisors			
Other			

B. TARGETED INCOME GROUP BENEFIT

**1997 and 1998 Colonias
Activity Description Form for Public Works
Applicant**

1. What percent of households benefiting from this proposed activity are TIG households? _____ %

2. TIG benefit--how was it determined?

- | | | |
|----|---|--|
| a. | Income restriction? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| b. | Income survey of existing beneficiaries? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| c. | Income survey of potential beneficiaries? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| d. | Other? _____ | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Please attach documentation for the TIG benefit.

3. You are not required to have done a survey to establish benefit under Public Works, but if you did answer "yes" to 2b or 2 c above, please answer the following:

- | | | |
|----|--|-------|
| a. | Survey date | _____ |
| b. | Total # of anticipated beneficiaries | _____ |
| c. | Number of households or persons surveyed | _____ |
| d. | Number of responses | _____ |
| e. | Number of TIG respondents | _____ |

C. PERFORMANCE/CAPACITY

1. Does the applicant have any CDBG General or Colonia Allocation grants for the years 1994, 1995 or 1996?

☐ Yes. Stop here and go on to Part D., Leverage

☐ No. Continue to question #2 below.

2. If funded from this application, how will you administer the grant? All applicants who respond to this question must attach supporting documentation with this application.

☐ With in-house staff only
Attach resumes and duty statements of staff who will be performing the work.

☐ With consultant services only
Attach a letter of interest from a consultant that includes brief resumes of experience administering CDBG projects.. Neighboring jurisdictions who have previously administered a CDBG project may be considered consultants for purposes of this question.

☐ Some combination of in-house and consultant services.
Describe _____

_____ Attach resumes, duty statements, letter, etc. as indicated above.

3. Is the application for the purpose of assisting a non-profit corporation to carry out a CDBG eligible activity? Yes_____ No_____

D. LEVERAGE.

This section of the application has two parts--1. information about other funding commitments for the proposed project and 2. information about how all the funds will be used. Part 1 consists of three separate information blocks.

1. Other funding commitments. List the amounts and sources of contributions other than CDBG. Attach documentation of commitments.

- 1.a. Local Leverage. If any of the local contributions are from the Redevelopment Agency, please attach a separate Resolution from the RDA. Identify the original source of the local funds (i.e., some local funds may have originated as Federal or state funding passed on to the locality. If such is the case, the funds will not be counted as a local contribution for scoring purposes).

Local Leverage Source	Amount in Dollars in Resolution	Resolution Number (attach a copy of the Resolution)
General administration		
Activity delivery		

**1997 and 1998 Colonias
Activity Description Form for Public Works
Applicant**

- 1.b. Private Leverage. If labor and materials are being contributed, assign a dollar value on this chart and be sure the dollar value is included in the letters of commitment.

Private Leverage Source	Amount in Dollars in Letter from Source	Date of Commitment Letter (attach a copy of the letters)

2. Sources and Uses Form. Show all funds you plan to use: the CDBG funds applied for, the non-CDBG funds from leverage charts #1a. and b., and all other funding sources that will be used on the entire project.

SOURCES

USES

	State CDBG	Local Financial	Private Financial	Program Income	Federal	Other State	Other Sources	Total
Land Acquisition								
Building Acquisition								
Construction On-site								
Construction Off-site								
Equipment								
Final Plans & Specs								
Fees								
Contingency								
General Administration								
Activity Delivery								
Relocation								
Other								
Total								

**1997 and 1998 Colonias
Documentation and Certification Forms
Instructions**

Applicants must complete and attach with the application a series of documentation forms and authorizing documents. Complete the relevant forms and place them into this section of the application.

1. Growth Control and Housing Element Status. The form is required and can be found in this section. See also Appendix A.
2. Location Maps. This form is required. Instructions are in this section.
3. Citizen Participation prior to application. This form is required. Instructions are in this section.
4. Statement of Assurances. This form is required. See sample in Appendix C. All applicants must use the form provided by the State.
5. Resolution of the Governing Body. This form is required. See sample in Appendix D.

The Resolution submitted with this application must be a certified copy of the Resolution. It must authorize submission of the application, approve the application's contents, and authorize its execution (and any amendments thereto). CDBG staff strongly recommends that applicants use the suggested language in the sample form.

6. Joint Powers Agreement. This form may be required. See below.

An Agreement is required by the CDBG Regulations, Section 7070(c)(4) as part of an application on behalf of another jurisdiction or for joint applications. Applicants must prepare an Agreement if the following conditions exist:

- a. if one application is submitted by two or more jurisdictions,
- b. if a county is applying on behalf of a city in the same county, or
- c. if a county applicant is applying on behalf of itself and a city in the same county.

Section 7060(d) provides that such agreements must be on forms provided by the Department. See Appendix E for a sample form.

Additional provisions may be added by applicants either by attachments to the agreement or by typing additional provisions or exceptions into the spaces provided on the form. Space has been left between each paragraph for applicants to modify any provisions to fit the applicant's particular situation. The applicant should enter "not applicable" if a provision clearly has no meaning in light of the activities proposed. Do not leave any lines blank.

If the applicant proposes to create a separate Joint Powers agency, the Department must be consulted regarding the inclusion of legal requirements.

1998 G/NA
Growth Control and Housing Element Status
Applicant

Please answer the following questions and return this page with your application.

1. **Growth Control.** Has the applicant enacted limitations on residential construction, which limitations are not establishing agricultural preserves, not imposed by another agency, or not based on a health and safety need?

Note: If the applicant has a General Plan, ordinance, or other measure which directly limits by number either the building permits which may be issued for residential construction, or buildable lots which may be developed for residential purposes, and the measure does not meet any of the exceptions found in the Program Regulations, Section 7056(b)(2)(B), check "yes" below and attach a copy of the measure with this application.

- ☐ Yes
☐ No

2. **Housing Element Status.** Has the applicant submitted an adopted housing element to the Department?

- ☐ Yes. If yes, complete and attach a self-certification that the housing element is in procedural compliance with State housing element law. See Appendix A for the required self-certification form language. **NOTE: The Department will not award funds to any applicant who has not submitted the self-certification by May 11, 1998. The self-certification must be received by HCD, not postmarked, by May 11. No extensions will be granted beyond that date.**

- ☐ No

3. **Housing Activity.** Is this application for low-income housing?

Note: If the project being applied for is restricted to housing activities that benefit the Targeted Income Group, check "yes." Otherwise, check "no."

- ☐ Yes
☐ No

Please read the instructions below and return the requested information with your application.

1. **Ethnic/TIG concentration maps.** Based on the applicant's knowledge of the area and available data, provide a map of the jurisdiction that shows:
 - a. the location of concentrations of non-white persons and Hispanic persons within the entire city or county, and
 - b. the location of concentrations of targeted income group families within the jurisdiction.
2. **Native American population.** If this application is for funding from the Native American Allocation, the population of Native Americans in the target area must be at least 51 percent of the total population in the target area. Attach documentation or self-certification of the required percentage.
3. **Location map.** A location map must include:
 - a. the number and boundaries of census tract(s) or enumeration districts(s) within which CDBG funds will be spent, and
 - b. the general location of the proposed activities, including geographic boundaries of the target or service areas covered by each activity.
4. **Project site map.** For site specific activities, include a project site map which shows:
 - a. dimensions of the lot
 - b. dimensions of existing and proposed structures
 - c. location and size of existing and proposed infrastructure (road, water, sewer, etc.)
 - d. name of adjacent street and identification of the nearest intersection

The Program's Citizen Participation requirements are described in Appendix N of the NOFA. If a jurisdiction received written comments as part of the public hearings process prior to submitting the CDBG application, a copy of the comments must be submitted with the application. Use this section of the application to make sure you have met this requirement.

1. Did the jurisdiction receive written comments during the public hearings process prior to submitting this application?

☐ Yes ☐ No

2. If you checked yes, attach a copy of the comments and of the jurisdiction's response to those comments. Be sure to make an entry on the Checklist of Attachments.

**1997 and 1998 Colonias
Checklist of Attachments
Applicant**

NOTE: All the attachments listed here are part of this application. Not all documents will apply to all activities.

1. Enter jurisdiction name at top of each page.
2. Make a checkmark for each item on the list. Do not leave any item blank--check either "included" or "not applicable."
3. Enclose and mark each attachment. **Incomplete applications will not be considered for funding.**
4. Return a copy of this Checklist with your application.

	<i>Check if</i>		<i>Page #</i>
	<i>Included</i>	<i>Not Applicable</i>	<i>Location in your Application</i>
TABLE OF CONTENTS TO APPLICATION	<input type="checkbox"/>		N/A
APPLICATION SUMMARY FORM	<input type="checkbox"/>	<input type="checkbox"/>	N/A
• Signature page is complete	<input type="checkbox"/>	<input type="checkbox"/>	N/A
ACTIVITY DESCRIPTION FORMS			
• Site control documentation (New Construction, Community Fac./Public Svcs., and Public Works)	<input type="checkbox"/>	<input type="checkbox"/>	_____
• Waiting list information	<input type="checkbox"/>	<input type="checkbox"/>	_____
• Housing element pages for Rehabilitation need data	<input type="checkbox"/>	<input type="checkbox"/>	_____
• Documentation of need for Community Fac./Public Svcs.	<input type="checkbox"/>	<input type="checkbox"/>	_____
• Documentation of need for Public Works	<input type="checkbox"/>	<input type="checkbox"/>	_____
• Supplemental information (New Construction and Rehabilitation only)	<input type="checkbox"/>	<input type="checkbox"/>	_____
• TIG benefit documentation	<input type="checkbox"/>	<input type="checkbox"/>	_____

**1997 and 1998 Colonias
Checklist of Attachments
Applicant**

- | | | | |
|--|--------------------------|--------------------------|-------|
| • Resumes, duty statements, letters of interest | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| • Resolutions and letters of commitment for local and private leverage | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| • Census Tables H21 & H25 | <input type="checkbox"/> | <input type="checkbox"/> | _____ |

DOCUMENTATION AND CERTIFICATION FORMS

- | | | | |
|---|--------------------------|--------------------------|-------|
| 1. Growth Control and Housing Element status form | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| • Housing Element self-certification | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| 2. Maps | | | |
| • Ethnic/TIG concentration map | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| • Native American population | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| • Location map | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| • Project site map | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| 3. Citizen Participation form | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| 4. Statement of Assurances | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| 5. Resolution of the Governing Body | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| 6. Joint Powers Agreement | <input type="checkbox"/> | <input type="checkbox"/> | _____ |

CHECKLIST OF ATTACHMENTS

Be sure to send a copy of this Checklist with your application.	<input type="checkbox"/>	_____
---	--------------------------	-------

OTHER

If you have any attachments in addition to what is listed here, please identify them in the space below. Indicate a page number location where item(s) are located in your Application.

APPENDICES

- A Housing Element Self-Certification Language
- B Survey Techniques for Targeted Income Group Benefit
- C Statement of Assurances
- D Sample Resolution of the Governing Body
- E Sample Joint Powers Agreement
- F Cost categories for General Administration, Activity Delivery, and Program Loan/Activity
- G Census Data Centers
- H Census Tables H21 & H25
- I Eligible Activities: Housing New Construction
- J Eligible Activities: Housing Acquisition
- K Eligible Activities: Housing Rehabilitation
- L Eligible Activities: Community Facilities and Public Services
- M Eligible Activities: Public Works
- N Public Hearings Requirements

**1997 and 1998 Colonias
Housing Element Self-Certification Language
Appendix A**

All applicants are required to submit a self-certification of the status of their housing element to the Department by May 11, 1998. The following language is provided as a sample:

"I, _____, the City Attorney/County Counsel, Chief Executive Officer, or official designated by the governing body for the city/county of _____, have reviewed the updated housing element of _____, and hereby certify that this housing element, which includes updated information and which conforms with all other requirements of Article 10.6 (commencing with Section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code, has been prepared and was submitted to the Department of Housing and Community Development on _____, 19___. The updated housing element was adopted on _____, 19___ and is in conformity with all requirements of Article 10.6 et seq."

This Appendix provides information for applicants who are conducting neighborhood surveys. The Appendix has three sections:

1. Conducting the Survey /Client Confidentiality
 2. Survey Questions
 3. Information about Random Sampling
-

Part 1. Conducting the Survey /Client Confidentiality

The survey process should include a way to identify specific households who responded to the questionnaire and ensure the respondents' confidentiality. Respondents may be particularly sensitive to the question of household income. If a respondent's address is requested on the questionnaire, many persons may not answer the income questions, or may not complete the questionnaire at all. Consequently, in order to promote a high response rate, the questionnaire should not include identifying information, such as the person's name or address.

Several acceptable methods for preserving anonymity of the respondent include:

1. The surveyor may hand deliver the questionnaire to the respondent and conduct the survey orally. At that time, upon completing this interview, the surveyor would mark off the respondent's address from an address list. If the questionnaire is delivered to the household or mailed and is to be collected at a later date, the collector can mark off the respondent's address at the time of collection.
2. If the questionnaire is to be mailed to respondents and returned by mail, the identifying information (respondent's address) would be on the return envelope. Upon receipt of the completed questionnaire, the address can be checked off the address list and the envelope and questionnaire can be separated. If the applicant uses this method, a statement ensuring respondent confidentiality should be included. Sample language is given below:

Replies to this questionnaire are confidential. Confidentiality is protected by not including names on any of the forms. We need a high response to have a chance of getting funded. Addresses are on the return envelopes so we can make follow-up contacts if no questionnaire is received and we need more questionnaires returned. When we get your envelope and questionnaire in the mail, we will check off that a questionnaire has been received from your house, remove the questionnaire from the envelope, and throw the envelope away. No identifying information will be kept with the questionnaires, and the questionnaires will be tallied as a group.

3. If coded questionnaires are used, a simple method of coding is to place a number on the questionnaires or return envelopes. Each number is assigned an address from the address list. When the material is received, a list of returned numbers is kept. If the response rate is not high enough so that follow-up contacts are needed, the addresses of numbers for which no response has been received can be looked up and additional questionnaires sent out.

The income survey data should be less than 60 months old from the date of the application deadline.

Part 2. Survey Questions

These questions and the Directions for Random Sampling which follow in Part 3. are provided to assist the applicant in using a method of surveying which allows for validation and, at the same time, preserves the confidentiality of the respondent. Applicants may include other questions designed to elicit information which they feel is important. Experience has shown that overly detailed surveys may adversely affect the response rate.

The questions are designed to provide data regarding family size, income, and housing tenure. Family size and income are of particular significance in determining if a household is in the targeted income group.

NOTE TO APPLICANTS: Information regarding question #2 below. Please read the following information regarding income data and use the income limit figures that apply to your County in your questionnaire.

The reason for collecting income data is for the applicant to make a determination of how many persons surveyed fall into the categories of LTIG, TIG, and above TIG. The numbers provided in the chart under question #2 are ***SAMPLES ONLY***. Use Line A for the income limits for the Lowest Targeted Income Group; use Line B for the income limits for the Targeted Income Group.

At the end of this appendix are the 1996 Income Limits by County. These pages are arranged alphabetically by county and show the LTIG and TIG income limits by size of household. Applicants should consult these pages and use the income limits for their county in their questionnaire. This will enable applicants to group the respondents as LTIG, TIG, and over TIG. LTIG is 50 percent and below of the adjusted area median family income. TIG is 80 percent and below of the adjusted area median family income (by definition, TIG includes LTIG). Over TIG is 81 percent and above of the adjusted area median family income.

QUESTIONS

1. How many persons live in your household? _____
2. Using the chart below, please do the following:
 - a. Circle the column that matches the size of your household.
 - b. On a separate sheet of paper, make a determination of your income (you do not need to state your income on this questionnaire). Use the total household income in the last 12 months or the income claimed in the most recent Federal income tax filing. Include wages before deductions, public assistance, unemployment benefits, social security, pensions, alimony, child support, net income from owning or operating a farm or business, or any other source of income received regularly.

1997 and 1998 Colonias
Survey Techniques for Targeted Income Group Benefit
Appendix B

- c. Compare the income of your family to the figures on the chart in Lines A and B under the column you circled for the size of your household (#a. above).
- d. Read the following questions and make a check mark in the spaces indicated:
- 1) Line A: was your household income above_____ or below_____ the number associated with your family size? If you checked "above," also answer #2). If you checked "below," stop here and go on to question #3.
- 2) Line B: was your household income above_____ or below_____ the number associated with your family size?

Household Size	1	2	3	4	5	6	7	8
A (LTIG)	\$11,950	\$13,700	\$15,400	\$17,100	\$18,450	\$19,850	\$21,200	\$22,550
B (TIG)	\$19,150	\$21,900	\$24,600	\$27,350	\$29,550	\$31,750	\$33,950	\$36,100

3. Are your living quarters: Owned___ or Rented ___

Name & address of owner _____

Part 3. Information about Random Sampling

“Data, data, data!” he cried impatiently. “I can’t make bricks without clay.”
--Sherlock Holmes

In comparing applications for TIG benefit and need, the Department will accept reliable data about the local beneficiary population. Establishing reliable descriptive data does not require contacting each and every potential beneficiary. Instead, the applicant may conduct a sampling of the subject population that, if done correctly, can provide reasonably accurate descriptive data.

The Department will accept sampling statistics that represent the population as a whole if the applicant uses a valid survey methodology. Conversely, the Department may, after reviewing the submitted data, determine that the methodology was statistically unsound. In such cases, the Department may assign a score of zero for TIG benefit, or may use other generally recognized data such as U.S. Census data.

Two key features to your survey design should be 1) random selection of survey respondents, and 2) a large enough sample size to assure you have captured a reliable representation of the population. The following discussion provides some guidance in these two key areas.

Random Sampling

The guiding rule for sampling households or beneficiaries from the larger population is the avoidance of “sampling bias.” That is, sampling should not systematically exclude certain types of respondents. For example, surveys conducted mid-week during the day may exclude working households and provide inaccurate statistics about the larger population. If the survey methodology contains a sampling bias, larger sampling sizes will not solve the problem. Certain portions of the population will continue to be systematically excluded from the sampling.

As a general rule, each individual within the population should have an equal chance of being surveyed. Beware of using data sources that contain only certain portions of your beneficiary population. For example, some utility billing lists may contain only property owners, while the beneficiaries will be both owners and renters. Within your application to the Department, describe the sampling methodology and how it achieves a randomly-selected sampling.

Adequate Sampling Size

Any time a community tries to deduce information regarding a population by sampling a sub-set of that population, the community runs the risk of a sampling error. That is, you run the risk of randomly sampling a group that is different from the larger population, with potentially misleading results. To reduce this risk, you want to keep the chance of a sampling error low. Statisticians refer to this risk of sampling error as a “standard error” (SE) which is expressed as a percentage. We have all read election polls that describe a statistical result of a sampling “plus or minus 5 percent.” The 5 percent figure is the SE.

Standard errors can be reduced by enlarging the sample size. That is, the larger the sample size, the less likely you are to survey a group that does not represent the population you are studying. The Department will accept sample sizes that have a SE of 5 percent or less.

Determining the Standard Error (SE)

To establish the SE for your sample size, you must look at the results and perform two statistical calculations. First, establish the Standard Deviation. Second, use the Standard Deviation to establish the Standard Error. The example below shows how to establish the SE where the jurisdiction is trying to establish the percent of households within a target area that are TIG.

Example: Assume a jurisdiction has randomly sampled 100 households and arrived at the following results:

TIG Households = 80%

Non-TIG Households = 20%

First, establish the standard deviation (SD) by calculating the square root of the product of those percentages:

1. calculate the product of the two percentages: $.80 \times .20 = .16$
2. calculate the square root of the product: $\sqrt{.16} = .4$
3. SD = .4

Second, establish the standard error (SE) by multiplying the square root of the sample size, 100 households, times the SD:

1. establish the sample size: 100
2. calculate the square root of the sample size: $\sqrt{100} = 10$
3. multiply the square root of the sample size by the SD: $10 \times .4 = 4$
4. divide the result by the sample size: $4 / 100 = .04$
5. SE = .04 = 4%

In summary, the example shows that, with data approximating that shown above, a randomly selected sample size of 100 should derive an acceptably small SE.

**1997 and 1998 Colonias
Survey Techniques for Targeted Income Group Benefit
Appendix B**

1997 INCOME LIMITS BY COUNTY

COUNTY	STANDARD	NUMBER OF PERSONS IN FAMILY							
		1	2	3	4	5	6	7	8
ALPINE	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
AMADOR	Lowest Targeted	14750	16850	18950	21050	22750	24400	26100	27800
Area median: \$42,100	Targeted	23600	26950	30300	33700	36350	39050	41750	44450
BUTTE	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
CALAVERAS	Lowest Targeted	12550	14300	16100	17900	19350	20750	22200	23650
Area median: \$35,800	Targeted	20050	22900	25800	28650	30950	33200	35500	37800
COLUSA	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
DEL NORTE	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area Median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
EL DORADO	Lowest Targeted	16250	18550	20900	23200	25050	26900	28750	30600
Area median: \$46,400	Targeted	26000	29700	33400	37100	40100	43050	46050	49000
FRESNO	Lowest Targeted	12250	14000	15750	17500	18900	20300	21700	23100
Area median: \$35,000	Targeted	19600	22400	25200	28000	30250	32500	34700	36950
GLENN	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650

**1997 and 1998 Colonias
Survey Techniques for Targeted Income Group Benefit
Appendix B**

COUNTY	STANDARD	NUMBER OF PERSONS IN FAMILY							
		1	2	3	4	5	6	7	8
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
HUMBOLDT	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
IMPERIAL	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
INYO	Lowest Targeted	12900	14700	16550	18400	19850	21350	22800	24300
Area median: \$36,800	Targeted	20600	23500	26500	29450	31800	34150	36500	38850
KERN	Lowest Targeted	12900	14750	16600	18450	19950	21400	22900	24350
Area median: \$36,900	Targeted	20650	23600	26550	29500	31900	34250	36600	38950
KINGS	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
LAKE	Lowest Targeted	12000	13700	15450	17150	18500	19900	21250	22650
Area median: \$34,300	Targeted	19200	21950	24700	27450	29650	31850	34000	36200
LASSEN	Lowest Targeted	13150	15000	16850	18750	20250	21750	23250	24750
Area median: \$37,500	Targeted	21000	24000	27000	30000	32400	34800	37200	39600
LOS ANGELES	Lowest Targeted	17950	20500	23100	25650	27700	29750	31800	33850
Area median: \$46,900	Targeted	28750	32850	36950	41050	44300	47600	50900	54150

**1997 and 1998 Colonias
Survey Techniques for Targeted Income Group Benefit
Appendix B**

COUNTY	STANDARD	NUMBER OF PERSONS IN FAMILY							
		1	2	3	4	5	6	7	8
MADERA	Lowest Targeted	12250	14000	15750	17500	18900	20300	21750	23100
Area median: \$35,000	Targeted	19600	22400	25200	28000	30250	32500	34700	36950
MARIPOSA	Lowest Targeted	12250	14000	15750	17500	18900	20300	21700	23100
Area median: \$35,000	Targeted	19600	22400	25200	28000	30250	34700	34700	36950
MENDOCINO	Lowest Targeted	12600	14400	16200	18000	19450	20900	22300	23750
Area median: \$34700	Targeted	20150	23050	25900	28800	31100	33400	35700	38000
MERCED	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median: \$34,300	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
MODOC	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median: \$34,200	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
MONO	Lowest Targeted	14650	16700	18800	20900	22550	24250	25900	27600
Area median: \$39,600	Targeted	23400	26750	30100	33450	36100	38800	41450	44150
MONTEREY	Lowest Targeted	15850	18100	20400	22650	24450	26250	28100	29900
Area median: \$41,800	Targeted	25350	29000	32600	36250	39150	42050	44950	47850
NAPA	Lowest Targeted	16750	19100	21500	23900	25800	27700	29650	31550
Area median: \$47,800	Targeted	26750	30600	34400	38250	41300	44350	47400	50500
NEVADA	Lowest Targeted	14550	16650	18700	20800	22450	24150	25800	27450
Area median:	Targeted	23300	26600	29950	33300	35950	38600	41250	43950

**1997 and 1998 Colonias
Survey Techniques for Targeted Income Group Benefit
Appendix B**

COUNTY	STANDARD	NUMBER OF PERSONS IN FAMILY							
		1	2	3	4	5	6	7	8
\$41,600									
PLACER	Lowest Targeted	15800	18100	20350	22600	24400	26200	28000	29850
Area median:	Targeted	25300	28950	32550	36150	39050	41950	44850	47750
\$45,200									
PLUMAS	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
\$34,200									
RIVERSIDE	Lowest Targeted	14800	16900	19050	21150	22850	24550	26250	27900
Area median:	Targeted	23700	27050	30450	33850	36550	39250	41950	44650
\$42,300									
SAN BENITO	Lowest Targeted	15750	18000	20250	22500	24300	26100	27900	29700
Area median:	Targeted	25200	28800	32400	36000	38900	41750	44650	47500
\$45,000									
SAN DIEGO	Lowest Targeted	15900	18150	20450	22700	24500	26350	28150	29950
Area median:	Targeted	25400	29050	32700	36300	39200	42150	45050	47950
\$45,400									
SAN LUIS OBISPO	Lowest Targeted	14800	16900	19050	21150	22850	24550	26250	27900
Area median:	Targeted	23700	27050	30450	33850	36550	39250	41950	44650
\$42,300									
SAN MATEO	Lowest Targeted	20850	23850	26800	29800	32200	34550	36950	39350
Area median:	Targeted	28150	32150	36200	40200	43400	46650	49850	53050
\$58,800									
SANTA BARBARA	Lowest Targeted	17350	19800	22250	24750	26750	28700	30700	32650
Area median:	Targeted	27700	31700	35650	39600	42750	45950	49100	52250
\$47,500									

**1997 and 1998 Colonias
Survey Techniques for Targeted Income Group Benefit
Appendix B**

COUNTY	STANDARD	NUMBER OF PERSONS IN FAMILY							
		1	2	3	4	5	6	7	8
SANTA CRUZ	Lowest Targeted	19600	22400	25200	28000	30250	32500	34700	36950
Area median:	Targeted	28150	32150	36200	40200	43400	46650	49850	53050
\$51,500									
SHASTA	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
\$34,200									
SIERRA	Lowest Targeted	12150	13900	15600	17350	18750	20150	21500	22900
Area median:	Targeted	19450	22200	25000	27750	30000	32200	34400	36650
\$34,700									
SISKIYOU	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
\$34,200									
SOLANO	Lowest Targeted	16750	19100	21500	23900	25800	27700	29650	31550
Area median:	Targeted	26750	30600	34400	38250	41300	44350	47400	50500
\$47,800									
STANISLAUS	Lowest Targeted	13500	15400	17300	19250	20800	22350	23850	25400
Area median:	Targeted	21550	24650	27700	30800	33250	35750	38200	40650
\$38,500									
SUTTER	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
\$34,200									
TEHAMA	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
\$34,200									
TRINITY	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
\$34,200									

**1997 and 1998 Colonias
Survey Techniques for Targeted Income Group Benefit
Appendix B**

COUNTY	STANDARD	NUMBER OF PERSONS IN FAMILY							
		1	2	3	4	5	6	7	8
TULARE	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
	\$34,200								
TUOLUMNE	Lowest Targeted	13150	15050	16900	18800	20300	21800	23300	24800
Area median:	Targeted	21050	24050	27050	30100	32500	34900	37300	39700
	\$37,600								
YOLO	Lowest Targeted	15400	17600	19800	22000	23750	25500	27300	29050
Area median:	Targeted	24650	28150	31700	35200	38000	40850	43650	46450
	\$44,000								
YUBA	Lowest Targeted	11950	13700	15400	17100	18450	19850	21200	22550
Area median:	Targeted	19150	21900	24600	27350	29550	31750	33950	36100
	\$34,200								

Higher income limits apply to families with more than eight persons. For all income groups, the income limits for families large than eight persons are determined as follows: for each person in excess of eight, add eight percent of the four-person income limit to the eight-person limit, and round the answer to the nearest \$50. For example, the nine-person very low income limit for Alamogordo County is \$38,700. ($\$27,700 \times .08 = \$2,216$; $\$36,550 + \$2,216 = \$38,766$; $\$38,766$ rounded = $\$38,750$.)

HUD 1/18/95

Authority: Section 50093, Health and Safety Code.

Reference: Sections 50079.5, 50093, and 50105, Health and Safety Code

**1997 and 1998 Colonias
Statement of Assurances
Appendix C**

The City/County of _____ hereby assures and certifies that:

1. It possesses legal authority to apply for the grant and to execute the proposed program.
2. Its governing body has duly adopted or passed as an official act or resolution, motion, or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the applicant's chief executive officer or other designee to act in connection with the application and to provide such additional information as may be required.
3. It has or will comply with all citizen participation requirements, which include, at a minimum, the following components:
 - a. Provides for and encourages citizen participation, with particular emphasis on participation by persons of low and moderate income who are residents of slum and blight areas and of areas in which CDBG funds are proposed to be used, and provides for participation of residents in low and moderate income neighborhoods as defined by the local jurisdiction;
 - b. Provides citizens with reasonable and timely access to local meetings, information, and records relating to the grantee's proposed use of funds, as required by CDBG regulations, and relating to the actual use of funds under this title;
 - c. Provides for technical assistance to groups representative of persons of low and moderate income that request such assistance in developing proposals with the level and type of assistance to be determined by the grantee;
 - d. Provides for public hearings to obtain citizen views and to respond to proposals and questions at all stages of the community development program. These include at least the development of needs, the review of proposed activities, and review of program performance, which hearings shall be held after adequate notice, at times and locations convenient to potential or actual beneficiaries, and with accommodation for the handicapped. This shall include one public meeting during the program design, annual performance report preparation, and formal amendments. A public hearing shall be conducted prior to application submittal;
 - e. Solicits and provides for a timely written answer to written complaints and grievances, within 15 working days where practicable; and
 - f. Identifies how the needs of non-English speaking residents will be met in the case of public hearings where a significant number of non-English speaking residents can reasonably be expected to participate.

**1997 and 1998 Colonias
Statement of Assurances
Appendix C**

4. Its CDBG Program has been developed so as to primarily benefit targeted income persons and households, and each activity in the program meets one of the three national objectives: benefit to low and moderate income persons, elimination of slums and blight, or meets an urgent community need certified by the grantee as such.
5. It consents to assume the responsibilities for environmental review and decision-making in order to ensure compliance with NEPA by following the procedures for "recipients" of block grant funds as set forth in 24 CFR, Part 58, entitled "Environmental Review Procedures for Title I Community Development Block Grant Programs." Also included in this requirement is compliance with Executive Order 11988 relating to the evaluation of flood hazards, and Section 102(a) of the Flood Disaster Protection Act of 1973 (Public Law 93-234) regarding purchase of flood insurance, and the National Historic Preservation Act of 1966 (16 USC 470) and implementing regulations (36 CFR 800.8).
6. It consents to assume the role of either "Lead Agency" as defined by Section 21067 of the California Public Resources Code, or if another agency is or will be designated "Lead Agency," it consents to assume the role of "Responsible Agency" as defined by Section 21069 of the California Public Resources Code, in order to ensure compliance with CEQA.
7. It has resolved any audit findings or performance problems for prior CDBG grants awarded by the State.
8. It certifies that there is no plan, ordinance, or other measure in effect which directly limits, by number, the building permits that may be issued for residential construction or the buildable lots which may be developed for residential purposes; or if such a plan, ordinance, or measure is in effect, it will either be rescinded before receiving funds, or it need not be rescinded because:
 - a. It imposes a moratorium on residential construction, to protect the health and safety, for a specified period of time which will end when the public health and safety is no longer jeopardized; or
 - b. It creates agricultural preserves under Chapter 7 (commencing with Section 51200) of Part 2 of Division 1 of Title 5 of the Government Code; or
 - c. It was adopted pursuant to a specific requirement of a State or multi-State board, agency, department, or commission; or
 - d. The applicant has a housing element which the Department of Housing and Community Development has found to be adequate, unless a final order has been issued by a court in which the court determined that it is not in compliance with Article 10.6 of Chapter 3 of Division 1 of Title 7 of the Government Code; or
 - e. The use of the funds applied for in this application is restricted for housing for the targeted income group.

**1997 and 1998 Colonias
Statement of Assurances
Appendix C**

9. It will comply with the regulations, policies, guidelines, and requirements of OMB Circular Numbers A-87, A-128, A-102 and A-121, where appropriate, and the State CDBG regulations.
10. It shall comply with the following regarding nondiscrimination:
 - a. Title VI of the Civil Rights Act of 1964 (Public Law 88-352).
 - b. Title VIII of the Civil Rights Act of 1968 (Public Law 90-284) as amended; and will administer all programs and activities related to housing and community development in a manner affirmatively furthering fair housing.
 - c. Section 109 of the Housing and Community Development Act of 1974, as amended.
 - d. Section 3 of the Housing and Urban Development Act of 1968, as amended.
 - e. Executive Order 11246, as amended by Executive Orders 11375 and 12086.
 - f. Executive Order 11063, as amended by Executive Order 12259.
 - g. Section 504 of the Rehabilitation Act of 1973 (Public Law 93-112), as amended, and implementing regulations.
 - h. The Age Discrimination Act of 1975 (Public Law 94-135).
 - i. The prospective contractor's signature affixed hereon and dated shall constitute a certification under the penalty of perjury under the laws of the State of California that the bidder has, unless exempted, complied with the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Code of Regulations, Section 8103.
11. It will comply with the Federal Relocation Act (42 U.S.C. 4601 et seq.) and will certify that it is following a residential anti-displacement and relocation plan.
12. It will comply with the following regarding labor standards:
 - a. Section 110 of the Housing and Community Development Act of 1974, as amended.
 - b. Section 1720 et seq. of the California Labor Code regarding public works labor standards.
 - c. Davis-Bacon Act as amended (46 U.S.C. 276a) regarding prevailing wage rates.
 - d. Contract Work Hours and Safety Standards Act (40 USC 327-333) regarding overtime compensation.
 - e. Anti-Kickback Act of 1934 (18 USC 874) prohibiting "kickbacks" of wages in federally assisted

**1997 and 1998 Colonias
Statement of Assurances
Appendix C**

construction activities.

13. It will comply with the Architectural Barriers Act of 1968 (42 USC 4151) and implementing regulations (24 CFR Part 40-41).
14. It will enforce standards of conduct which govern the performance of its officers, employees, and agents engaged in the administration of contracts funded in whole or in part by the CDBG Program (Section 7120(d) of the State regulations).
15. It will comply with the Hatch Act (5 USC 1501 et seq.) regarding political activity of employees.
16. It will comply with the Lead-Based Paint Regulations (24 CFR Part 35) which prohibits the use of lead-based paint on projects funded by the program.
17. It will not employ, award contracts to, or otherwise engage the services of any contractor while that contractor is in a period of debarment, suspension, or placement in ineligibility status under the provisions of 24 CFR Part 24.
18. It will give HUD, the Comptroller General, the State Department of Housing and Community Development, or any of their authorized representatives access to and the right to examine all records, books, papers, or documents related to the grant.
19. It will not attempt to recover any capital costs of public improvements assisted in whole or in part with CDBG funds by assessing properties owned and occupied by targeted income persons unless:
 - a. CDBG funds are used to pay the proportion of such assessment that relates to non-CDBG funding or
 - b. for the purposes of assessing properties owned and occupied by targeted income persons who are not of the lowest targeted income group, it does not have sufficient CDBG funds to comply with the provisions of a. above.
20. It will adopt and enforce policies
 - a. prohibiting the use of excessive force by its law enforcement agencies against individuals engaged in non-violent civil rights demonstrations and
 - b. enforcing applicable State and local law against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstration within its jurisdiction.

**1997 and 1998 Colonias
Statement of Assurances
Appendix C**

The certification is made under penalty of perjury under the laws of the State of California.

CERTIFYING OFFICIAL: _____
(Chief Administrative Executive)

Signature

Date

NOTE: An application for the State CDBG Program is to include, at a minimum, the following information in a resolution. Applicants have the option of including any additional pertinent information.

RESOLUTION NO. _____

A RESOLUTION APPROVING AN APPLICATION AND CONTRACT EXECUTION FOR FUNDING FROM THE GENERAL/NATIVE AMERICAN ALLOCATION OF THE STATE COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM AND AUTHORIZING THE EXECUTION OF A GRANT AGREEMENT AND ANY AMENDMENTS THERETO WITH THE STATE OF CALIFORNIA FOR THE PURPOSES OF THIS GRANT.

BE IT RESOLVED by the City Council of the City of _____ as follows:

SECTION 1.

The City Council has reviewed and hereby approves an application for up to: (list activities, location and dollar amount)

Main Street Water Line: \$200,000

Southgate Neighborhood Housing Rehabilitation: \$300,000

General Administration: \$37,500

SECTION 2.

If the grant application is approved, the City will provide local leverage for the water line/rehabilitation program as follows:

Staff time: \$5,000

Permit fee waivers: \$3,500

Redevelopment Agency funds: \$100,000

Public Works improvements in the rehabilitation area: \$50,000

SECTION 3.

The City Manager is hereby authorized and directed to act on the City's behalf in all matters pertaining to this application.

SECTION 4.

If the application is approved, the City Manager is authorized to enter into and sign the grant agreement and any amendments thereto with the State of California for the purposes of this grant.

PASSED AND ADOPTED at a regular meeting of the City Council of the City

of _____ held on _____ by the following vote:

AYES:

NOES:

ABSENT:

Signature

Mayor of the City of _____

ATTEST:

Signature

City Clerk of the City of _____

**1997 and 1998 Colonias
Sample Joint Powers Agreement
Appendix E**

This agreement, dated for convenience _____, 199__ is made by and between the City/County of _____, a political subdivision of the State of California, and the City/County of _____, a political subdivision of the State of California.

Whereas: The community development activities applied for in the State's Community Development Block Grant Program consist of:

and;

Whereas: These community development objectives may be best achieved and most cost-effectively administered through the cooperative efforts of the City/County of _____ and the City/County of _____

and:

Whereas: Section 7060(d) of Title 25 of the California Code of Regulations requires a Joint Powers Agreement which meets the requirements of Article I, Chapter 5 of Title 1 (commencing with Section 6500) of the Government Code in order to submit a joint application for the State Community Development Block Grant Program;

Now therefore; the parties hereto agree to the following:

I. General

This agreement is subject to the terms and requirements of Article I, Chapter 5 of Title 1 (commencing with Section 6500) of the Government Code and Subchapter 2 of Chapter 7 of Title 25 of the California Code of Regulations.

II. Purpose

This agreement sets forth the relationships and responsibilities of the parties hereto for the purpose of applying for and, if successful, the administration and implementation of the State Community Development Block Grant Program. If funded, the parties shall be responsible for the areas designated below.

III. Block Grant Contract Management

- a. The City/County of _____ shall be responsible for the management of the State Community Development Block Grant Program Grant Agreement executed with the State of California for the purpose of receiving these funds. These responsibilities, except as noted below in subparagraph IIIb, include but are not limited to:
1. Setting up of any cash depositories as required by 25 Code of Regulations 7098.
 2. Any bonding and insurance as required by 25 Code of Regulations 7100, and Section 6505.1 of the Government Code.
 3. Recordkeeping as required by 25 Code of Regulations 7102.
 4. Program income requirements of 25 Code of Regulations 7104.
 5. Financial management in conformance with the requirements of 25 Code of Regulations 7106.
 6. Financial reporting as required by 25 Code of Regulations 7108.
 7. Performance reports as required by 25 Code of Regulations 7110.
 8. Any revisions pursuant to 25 Code of Regulations 7114.
 9. The grant closeout procedures of 25 Code of Regulations 7116.
 10. Property management and procurement in conformance with 25 Code of Regulations Sections 7118 and 7120.
 11. Audit requirements of 25 Code of Regulations 7122.
- b. The City/County of _____ shall be responsible for the following exceptions to the contract management requirements:

**1997 and 1998 Colonias
Sample Joint Powers Agreement
Appendix E**

IV. Grant Implementation

- a. The City/County of _____ shall be responsible for the implementation of the program contained in the grant application for the State Community Development Block Grant funds. These responsibilities, except as noted below in subparagraph IV.b., include but are not limited to:
1. Citizen participation as required by 25 Code of Regulations 7080 and the Housing and Community Development Act of 1974, including amendments.
 2. Environmental reviews as required by 25 Code of Regulations 7082.
 3. Labor standards as required by 25 Code of Regulations 7088 and 7096.
 4. Program design, work write-ups, bid processes, change orders, inspections, construction management and other related program implementation steps required for the successful completion of the program.
 5. All other program requirements as set forth in Subchapter 2 of Chapter 7 of Title 25 of the Code of Regulations (the State Community Development Block Grant Program regulations).
- b. The City/County of _____ shall be responsible for the following exceptions to the contract management requirements:

V. Additional Responsibilities

In addition to the aforesaid delegations of responsibilities, the parties hereto, pursuant to Section 6504 of the Government Code, also agree as follows:

**1997 and 1998 Colonias
Sample Joint Powers Agreement
Appendix E**

VI. Personnel

Personnel used in the implementation of the program shall be employees of _____ and under the supervision of _____ for the sole purpose of accomplishing the tasks set forth in the application for the State Community Development Block Grant funds.

VII. Use of Property, Equipment, and Utilities

- a. The City/County of _____ shall provide the following property, equipment and utilities for use by the City/County of _____ for the purpose of implementing the State Community Development Block Grant Program:

- b. Pursuant to Government Code Section 6505.1, the following shall have charge of, handle, or access to the property or equipment set forth above (name persons if so desired):

VIII. Duration of this Agreement

This agreement shall be effective upon the date the applicant receives notice from the State that the application has been funded. The City/County of _____ shall be responsible for the execution of all grant documents necessary for the administration of the program. This agreement shall remain in affect until such time as the grant agreement has been successfully closed out by the State.

In the event the joint Block Grant Application is not funded, this agreement shall be null and void and have no legal affect.

IX. Disposition of Acquired Property or Assets

All property, real or personal, acquired during the administration of this program shall be disposed of in accordance with the provisions of Title 25 of the Code of Regulations, Sections 7116 and 7118. Any surplus funds contributed to the program by the parties to this agreement and remaining on hand after the completion of the program shall be returned in proportion to the contributions made.

X. Amendments

Any amendments or modifications to this agreement must have the prior approval of the State and may not

materially affect the State's responsibilities for administering this program.

**1997 and 1998 Colonias
Sample Joint Powers Agreement
Appendix E**

XI. Assurances

Both parties to this agreement agree to be bound by any and all assurances required pursuant to 25 Code of Regulations, Section 7070(c)(3).

XII. This agreement shall be accompanied by certified resolutions from each party authorizing its execution.

XIII. Additional Provisions

IN WITNESS WHEREOF, the parties hereto have caused this agreement to be executed and attested by their proper officer hereunder, duly authorized, and their official seals to be hereto affixed, as of the day and year first above written.

_____ Name	_____ Name
_____ Title	_____ Title
_____ Date	_____ Date
City/County of _____	City/County of _____

APPROVED

_____ Name State Department of Housing and Community Development	_____ Date
--	---------------

**1997 and 1998 Cplonias
Cost Categories for General Administration,
Activity Delivery, and Program Loan/Activity
Appendix F**

Costs	General Administration	Activity Delivery	Program Loan/Activity
Advertisements	X	X	
Appropriate Fees		X	X
Attend Workshops (HCD)	X		
Bidders Conferences		X	X
Construction			X
Engineering Draw/Design		X	
Environmental Studies	X		
Fiscal Reporting	X		
General Coordination	X		
Indirect Costs	X	X	
Insurance Premiums		X	
Loan Processing*		X	
Meetings with Banks		X	
Meetings with Homeowners		X	
Personnel	X		
Procurement	X		
Program Reporting		X	
Project Inspections		X	
Relocation Costs	X	X	X
Work Write-ups		X	

* Costs of processing loans funded by another source may be charged to the CDBG-funded program if the other loan program is to be part of the jurisdiction's CDBG activity and is identified in Section D., Leverage, of the Activity Description form.

State

Department of Finance
Demographic Research and Census Data Center
915 "L" Street
Sacramento, California 95814
(916) 323-4086

Regional Centers:

Association of Bay Area Governments (ABAG)
P.O. Box 2050
Oakland, California 94604
(510) 464-7900

Southern California Association of Governments
(SCAG)
800 W. 7th Street, 12th Floor
Los Angeles, California 90017
(213) 236-1800

Sacramento Area Council of Governments (SACOG)
P.O. Box 808
Sacramento, California 95812-0808
(916) 457-2264

U.C. Berkeley
State Data Program
Survey Research Center
2538 Channing Way
Berkeley, California 94720
(510) 642-6571

San Diego Association of Governments (SANDAG)
First Interstate Plaza, #800
401 B Street
San Diego, California 92101
(619) 595-5300

Counties Covered:

Alameda, Contra Costa,
Marin, Napa, San Francisco,
San Mateo, Santa Clara,
Solano, Sonoma

Imperial, Los Angeles,
Orange, Riverside, San
Bernardino, Ventura

Sacramento, Sutter, Yolo,
Yuba, the City of Roseville,
and 21 other Northern
California counties not listed
for any other Regional Center

Universities and State
Colleges

San Diego

When a jurisdiction is applying for the activity of Housing Rehabilitation, the application must contain the Census Tables H21 and H25 to document the percentage of overcrowding and the age of housing built prior to 1960. These tables can be obtained through the 1990 Census STF 1A and 3A which are on CD-ROM. Census data should be available through locally planning departments, colleges, the State Census Center or as a last resort HCD.

Samples of these tables are included in this appendix.

When a jurisdiction is applying for the activity of New Construction , the application must contain the Census Tables H 4, H 21 and H 50 to document the percentage of overcrowding, overpayment and the vacancy rate of housing. These table can be obtained through the 1990 Census STF 1A and 3A which are on CD-ROM. Census data should be available through locally planning departments, colleges, the State Census Center or as a last resort HCD.

Samples of these tables are included in this appendix.

APPENDIX I

ELIGIBLE ACTIVITIES: HOUSING NEW CONSTRUCTION

NOTE: Federal law requires that displacement due to CDBG activities be minimized. Applicants must design their housing programs with this objective in mind.

A. SCORING FACTORS

The Department will use several need indicators, as follows: The need for new units, based on the jurisdiction's vacancy rate for the tenancy type proposed, from the 1990 census or a local survey; the percentage of renters who are overpaying based on the 1990 census; the percentage of overcrowding, based on the 1990 census; project demand, based on a *project-specific* waiting list or market study; and the need for new low- and very low-income units, based on the council of government (COG) regional share data, as a percentage of the current number of units in the jurisdiction.

If the applicant has extraordinary local circumstances that it feels are not documented by these data sources, the applicant may provide supplemental information in brief narrative format.

B. ELIGIBLE ACTIVITIES

1. Uses of CDBG funds in conjunction with the actual construction of new housing:
 - a. Site acquisition and/or clearance;
 - b. water and/or sewer improvements to allow for increased capacity;
 - c. site improvements (under certain conditions);
 - d. clearance of sites;
 - e. construction of streets, parks, and recreation facilities;
 - f. preparation of pre-construction studies, plans, and applications for funding; and
 - g. homeownership assistance for purchase of units not built at the time of application.

Note: Construction and occupancy of the housing must be completed prior to expiration of the CDBG Grant Agreement.

2. Uses of CDBG funds for costs of actual construction of new housing:
 - a. Construction of “last resort housing” when a jurisdiction is providing a displaced person with a comparable replacement dwelling unit, and this can only be accomplished by new construction. Last resort housing provisions are set forth in Federal Regulations 24 CFR Part 42. A plan documenting all efforts to relocate individuals must be submitted with the application if last resort housing or displacement is part of a new

construction proposal; and

- b. construction, which is part of a “neighborhood revitalization project”, carried out by a “Community Based Development Organization” as defined in HUD Regulations 24 CFR 570.204(c).
3. Uses of CDBG funds for other eligible uses which are evaluated as new construction activities:
- a. Acquisition or cost write-down of rental housing, the majority of which is unoccupied, including any rehabilitation; and
 - b. conversion of other types of buildings to housing units (adaptive reuse).

C. PROHIBITED ACTIVITIES

With the exception of activities 2.a. & 2.b., above, the construction of new housing with State CDBG funds has generally not been eligible. The basis for this is in HUD Regulations (24 CFR Part 570.207(b)(3)): "Block grants may not be used for the construction of new permanent residential structures or any program to subsidize or finance new construction."

Generally, CDBG money is used in support of new housing construction projects.

D. NOTES ABOUT SITE ACQUISITION COSTS

Applicants are not required to have site control at the time of application. However, site control would be a special condition of a grant award and would need to be obtained within the first 90 days of the grant. Jurisdictions will not be able to use CDBG funds to repay any acquisition costs (for example, bridge loans) incurred prior to the date the state contract is executed and all special conditions have been met.

E. OTHER FINANCING

Applicants are not required to have other financing committed at the time of application. However, the timing of financing will be a specified condition of an grant award. The applicant must apply for necessary financing at the earliest opportunity during the grant term. All necessary financing must be committed within one year following the CDBG contract execution.

APPENDIX J

ELIGIBLE ACTIVITIES: HOUSING ACQUISITION

A. SCORING FACTORS

The Department will assess the need for this activity based on the following indicators: The jurisdiction's rental vacancy rate from the 1990 census (or a local survey) or the homeownership rate from on the 1990 census, as applicable for the type of project proposed; the percentage of renters who are overpaying based on the 1990 census; and the percentage of housing overcrowded, based on the 1990 census.

If the applicant has extraordinary local circumstances that it feels are not documented by these data sources, the applicant may provide supplemental information in brief narrative format.

B. ELIGIBLE ACTIVITIES

1. Acquiring or writing down the cost of existing rental housing, wherein most of units are occupied, including any rehabilitation costs.
2. Homebuyer assistance programs for acquiring of existing units
3. Acquiring and/or rehabilitating “at-risk” rental housing preservation projects
4. Financing residents purchasing their mobilehome parks.

APPENDIX K

ELIGIBLE ACTIVITIES: HOUSING REHABILITATION

NOTE: Federal law requires that displacement due to CDBG activities be minimized. Applicants must design their housing programs with this objective in mind.

A. SCORING FACTORS

The Department will use several need indicators: age of housing stock (pre-1960) based on 1990 census data, the percentage of overcrowding based on 1990 census data, and the percentage of units needing rehabilitation based on data in the jurisdiction's adopted housing element. If the applicant has extraordinary local circumstances related to housing stock condition that are not documented by these data sources, the applicant may provide supplemental information in brief narrative format. Also, if the applicant is proposing to work in a specific target area, the Department will accept 1990 census data at the Census Block Group level for the target area(s).

B. ELIGIBILITY FACTORS

Housing rehabilitation means making health and safety improvements to owner and renter occupied units. Under certain circumstances and with prior HCD approval, rehabilitation can also include the demolition and reconstruction of dwelling units. Water or sewer laterals are considered rehabilitation when they are located on private property. The work is typically done by a licensed contractor, but the program will allow the use of sweat equity or an owner acting as a general contractor.

APPENDIX L

ELIGIBLE ACTIVITIES: COMMUNITY FACILITIES AND PUBLIC SERVICES

A. SCORING FACTORS

The Department will assess the need for these activities based on the severity of the problem being addressed and the extent to which the proposed action will solve the problem. Applicants with strong third-party documentation of the problem will be more competitive. Such documentation could include but not be limited to waiting list information; ranking on other agencies' funding lists; and data from government agencies. In rating and ranking these proposed activities, the Department will assign points based on the relative severity of problems among all applications.

B. COMMUNITY FACILITIES

This generally refers to the acquisition, rehabilitation, or new construction of buildings and grounds which are not used for permanent housing or centers of general local government, but are used for other public purposes, such as training, health, education, recreation, nutrition, emergency shelter, day care, or fire protection. Refinancing the loans on an existing building is not an eligible use of CDBG funds unless the refinancing takes place in conjunction with the rehabilitation of the building.

Buildings used for the general operation of local government are not eligible as community facilities, except that the removal of architectural barriers from such buildings is an eligible activity.

To be eligible as a community facility project, any housing-related activities must be temporary in nature, e.g., migrant farm labor housing or homeless shelters which limit occupancy to 180 days or fewer.

C. PUBLIC SERVICES

This refers to labor, supplies, and materials used to provide or improve services such as employment, crime prevention, child care, health, drug/alcohol abuse prevention, or education. Federal regulations establish three restrictions on the use of CDBG funds for public services:

1. The service must be new in that it has never been provided or has been discontinued more than 12 months prior to the date the application is filed with the Department.
2. The service must be a quantifiable increase in the level of service over the past 12 months unless an otherwise imminent decrease in level is found not to be caused by local governmental action.

3. The State CDBG allocation for public services cannot exceed 15 percent of the total award to the State in that year.

Public services currently funded with CDBG grant funds are eligible activities.

D. NOTES ABOUT SITE ACQUISITION COSTS

Applicants are not required to have site control at the time of application. However, site control will be a special condition of a grant award and will need to be obtained within the first 90 days of the grant. Jurisdictions will not be able to use CDBG funds to repay any acquisition costs (for example, bridge loans) incurred prior to the date the state contract is executed and all special conditions have been met.

APPENDIX M

ELIGIBLE ACTIVITIES: PUBLIC WORKS

A. SCORING FACTORS

The Department will assess need for these activities based on the severity of the health and safety problem to be addressed and the likelihood that the funds requested will substantially reduce or eliminate the problem. Applicants with strong third-party documentation will be more competitive. Such documentation could include but not be limited to ranking on other agencies' funding lists and orders from government agencies. In rating and ranking these proposed activities, the Department will assign points based on the relative severity of problems among all applications. The most competitive applications will include documentation that funding for long-term operation and maintenance of the system has been provided for through a structured rate schedule.

B. ELIGIBILITY FACTORS

Eligible activities. Eligible activities include the costs of acquisition, construction, or installation of the public works project and site or other improvements, including water and sewer facilities, flooding and drainage facilities, utilities, and flood control.

Targeted Income Group Benefit. When addressing a neighborhood or community-wide public works problem, benefit is generally provided to all the occupants of a geographic area or all users of the facility/service. Typically, only a portion of the CDBG funds for such an activity benefit TIG households, unless the target area is extremely depressed. Lowered benefit will not necessarily prevent an application from being funded, but any activity with less than 100 percent benefit to TIG households is likely to be at a competitive disadvantage with other activities.

C. TECHNICAL ASSISTANCE

CDBG retains the services of a consulting engineer. The engineer is available to provide assistance with the preparation of cost estimates and to answer questions related to engineering issues. Applicants who wish to access this service should contact their CDBG field representative.

D. NOTES ABOUT SITE ACQUISITION COSTS

Applicants are not required to have site control at the time of application. However, site control will be a special condition of a grant award and will need to be obtained within the first 90 days of the grant. Jurisdictions will not be able to use CDBG funds to repay any acquisition costs (for example, bridge loans) incurred prior to the date the state contract is executed and all special conditions have been met.

APPENDIX N

PUBLIC HEARINGS REQUIREMENT

ABOUT PUBLIC HEARINGS

A public hearing is a public meeting that has been publicly noticed in a local newspaper of general circulation, or noticed in a fashion which otherwise follows local procedures for formal noticing of public hearings. The only public hearing that must be held before the local governing body is the hearing prior to submitting an application for funding to CDBG. All other public hearings may be conducted by any designated employee or agent of the city or county who is knowledgeable about the program. Hearings are required at the following stages of a CDBG grant:

Before getting a CDBG grant

1. At project design phase
2. Before submitting an application for funding

During the term of a CDBG contract

1. Before making any program amendments involving more than 10 percent of the total program budget.
2. Before making any program amendments that constitute a change in policies, standards, or criteria for program implementation. Examples: changes to rehabilitation program guidelines, changes to economic development plans.
3. When adopting or revising a Program Income Re-use Plan.
4. Before spending any Program Income revolving loan fund where the expenditure has not been previously noticed to the public as part of the Program Income Re-Use Plan hearing process.
5. At the end of each program year, before submitting the annual Grantee Performance Report.

At the end of the CDBG contract term

Before submitting the final Grantee Performance Report and Certificate of Completion.

WHAT TO COVER IN THE PREAPPLICATION HEARINGS

It is important to fully disclose the following information to the public at the public hearings held prior to submitting the application to the Department

1. **At project design phase.** At least one public hearing must be held during the time when the jurisdiction is deciding for which local project(s) or activity(s) to apply for CDBG funding. Residents of the area where CDBG funds will be used should be encouraged to participate. At this hearing, the following information should be offered:
 - an explanation of the CDBG program
 - an opportunity for attendees to ask questions and suggest possible uses of funds
 - information about the amount of funding available, the range of possible activities that may be undertaken with CDBG funds, and the opportunities for citizen involvement as the program progresses.
 - discussion of the national objective of benefit to Targeted Income Group (TIG) persons or other national objective
 - information about plans to minimize displacement that may occur as a result of grant funding
 - information that any assessments resulting from a CDBG-funded project will not be paid by members of the lowest Targeted Income Group and whether Targeted Income Group households who benefit from the project must pay any assessments
 - an invitation for written comments and how to submit such comments
 - information about the availability of technical assistance to groups representing TIG persons that request such assistance in developing proposals
2. **Before submitting an application for funding.** After the application has been prepared, and before it is submitted to the Department, the jurisdiction must hold a second hearing. At this time, the same information in the first six items listed above should be covered. In addition, the jurisdiction should:
 - fully describe the proposed activity(s) in the application
 - provide information about the amount of funding that is being requested
 - describe where each activity will be carried out and how it will meet the national objective of benefit to TIG persons
 - provide information on the estimated time schedule to accomplish the activity
 - provide opportunity for attendees to comment on the program, subject to the applicant's normal rules governing public hearings.

NOTICING REQUIREMENTS

All hearings should be noticed as widely as possible and held at a time and place convenient to the public, with accommodations for persons with disabilities. Where a significant number of non-English persons can reasonably be expected to participate, the notice must be in the appropriate language(s) and provision should be made for interpreters at the hearing. Public notices always should contain the following information:

- **the time and place of the hearing**

- **the availability of a public information file about the CDBG program**
- **an invitation to submit written comments and guidance on where to send such comments.**

In addition to the information above, specific public hearings require specific information in the public notice.

1. At the **project design stage**, the Public Notice should contain information about:

- **the amount of CDBG funds available**
- **the kinds of activities that are eligible for funding**

2. At the **application submittal phase**, the Public Notice should contain information about:

- **the application's dollar amount**
- **the activities being proposed**
- **a relocation plan, if residents will be relocated as a result of the proposed activity**

3. When any changes are made or actions are taken **during the term of the grant** that have not already been disclosed to the public, the notice should include:

- **information about the action being taken**

4. Before submitting the final Grantee Performance Report **at the end of the CDBG contract term**, the notice should include:

- **notice that the accomplishments under the grant will be disclosed**

RECORDKEEPING

The applicant/grantee should keep a record of all public hearings. The record should contain copies of the Public Notices, minutes of the hearings documenting that the contents of the Notice were discussed at the hearing, and a list of attendees. Attendees are not required to sign a sign-in sheet, but the file should show that a list was made available for sign-in at the start of the hearing. If attendees were present but did not sign or if no one attended, the file should so indicate.

DECISIONS REGARDING APPLICATION CONTENTS/GRIEVANCES AND COMPLAINTS

The local governing body has the sole discretion of deciding the contents of an application for funding. Any allegations made by any resident of the community that the procedural or legal requirements of the program are being violated should be thoroughly investigated. Any written complaints and grievances must receive a written response within 15 days where practicable.

SAMPLE NOTICE

A sample Public Notice for use at the project design stage follows on the next page.

SAMPLE

NOTICE OF PUBLIC HEARING

NOTICE IS HEREBY GIVEN that the City of _____ will conduct a public hearing by the City Council on Tuesday, April 4, 1997, at 8:00 p.m. at the City Hall Conference Room, _____ Street, to discuss the Fiscal Year 1998 Community Development Block Grant program and to solicit citizen input.

Maximum award limits include a total of \$800,000 per year from the General and Economic Development Components combined. Up to \$500,000 per application per year may be awarded from the General and Economic Development Components. Grants up to \$35,000 per year from the General Planning and Technical Assistance allocation and \$35,000 per year for Economic Development Planning and Technical Assistance allocation may be awarded and do not count toward the \$800,000 cap. The Native American allocation is available for eligible activities in areas with concentrations of Native American Indians not federally recognized as an Indian tribe or rancheria. The amount of Native American funds available varies each year, and a grant from this allocation does not count toward the \$800,000 cap.

The four major activity categories are Housing-New Construction, Housing-Rehabilitation, Community Facilities/Public Services, and Public Works. Projects funded with CDBG allocations must carry out at least one of three National Objectives, as follows: Benefit to Targeted Income Group (TIG) persons, elimination of slums and blight, and meeting urgent community development needs.

The Community Development/Housing Department on behalf of the City of _____ anticipates applying for the maximum grant amount of \$800,000 under the General and Economic Development Components for housing rehabilitation and Reservation of Funds for small business loans as well as the maximum grant amount of \$70,000 from the General and Economic Development Planning and Technical Assistance Components.

The purpose of the public hearing will be to give citizens an opportunity to make their comments known. If you are unable to attend the public hearing, you may direct written comments to the City of _____, Community Development/Housing Department, _____ Street, _____, CA 95____ or you may telephone _____. In addition, information may be obtained at the above address between the hours of 8:00 a.m. and 5:00 p.m. on weekdays.